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(54) Title: WORKFLOW SYSTEM AND METHOD											
(57) Abstract											
<p>A workflow system that automates work processes. The workflow system uses an open architecture to support multiple platforms and includes Application Programming Interfaces (APIs) enabling applications to communicate with a workflow engine. The workflow system supports Relational DataBase Management System (RDBMS) databases and allows routing of any kind of work (forms, images, executables). In addition, its flexible architecture is designed to facilitate changes to a workflow dynamically and to support integration with an existing infrastructure. The workflow system links software components to enable participants to work on shared data and ensures that business processes follow predetermined rules. Each task in the process is regulated such that the appropriate people have access to the appropriate data and are instructed to perform the task at the appropriate time. A developer can use a workflow system provided client to get an application up and running relatively quickly. The workflow system provides adapters which enable quick deployment and element flexibility. Adapters have a fixed interface which allows the Document Management System ((DMS)), Directory Services (DS) and DataBase system (DB) to be changed independent of the application in contrast to other workflow systems which tie the application directly to the (DMS), DS, and DB. The adapters allow developers to attach clients of varying types and magnitude and allows developers to mix and match application elements to better serve their application. Thus, the workflow system is not tied to any proprietary (DMS), DS, or DB.</p>											

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## WORKFLOW SYSTEM AND METHOD

## CROSS REFERENCE TO RELATED APPLICATIONS

This application claims the benefit of the priority dates of three U.S. provisional patent applications entitled "WORKFLOW SYSTEM AND METHOD," shown below and are hereby incorporated by reference as if fully set forth herein:

- Application No. 60/097,583 filed August 24, 1998,  
Application No. 60/097,879 filed August 25, 1998, and  
Application No. 60/097,791 filed August 25, 1998.

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Patent No. 5,490,097, Swenson et al., entitled, "SYSTEM AND METHOD FOR MODELING, ANALYZING AND EXECUTING WORK PROCESS PLANS, issued February 6, 1996 is hereby incorporated by reference for all purposes as if fully set forth herein.

15

## FIELD OF THE INVENTION

The present invention relates generally to an open workflow architecture, and more particularly to a workflow system which automates work processes.

20

## BACKGROUND OF THE INVENTION

Change is a common occurrence with automated process solutions, particularly because processes involve people. Developing anything beyond a simple automated process solution using traditional workflow products can prove to be a most challenging task for even the most experienced automation expert. Long and complicated development cycles are commonplace with complex automated solutions, and once created, can be extremely difficult to modify as the process evolves.

30

Current workflow technologies with their proprietary systems and dated architecture are no longer suitable to accommodate the changes in people, procedures, and resources that comprise a typical business process. Moreover, most existing workflow products cannot keep pace with the speed at which technology advances. The Internet, Information Technology (IT) infrastructures, and supporting workflow-related applications continuously evolve, enabling process automation to make giant strides, but only if the workflow application can accommodate these advances. Consequently, analysts and developers need a workflow solution that can change faster and more easily than a process can evolve, while harnessing the power of technological advancements.

35

1        Workflow is a relatively new concept which evolved out of an effort to  
automate business processes by developing specialized applications which  
incorporated the logic for the flow of work for a given process. The shortcoming of  
this approach is that any time a process changes, the entire application has to be  
5        updated resulting in a maintenance nightmare. Workflow was introduced to  
address this problem by encapsulating all aspects of a process. This includes  
process-defining information such as rules, routing paths, activities, data, etc. More  
importantly, it includes the automation of the management of this information. An  
application which supports workflow could then implement any workflow without  
10      requiring intimate knowledge of the workflow process itself.

Workflow systems were created to automate work processes. The history of  
workflow solutions has taken two general paths: (1) primitive framework, and (2)  
complete solutions with many limitations. The primitive framework approach  
provided a minimal skeleton, that is, code which was common to workflow systems,  
15      but not suited to any particular system. The primitive framework was difficult to  
deploy because it required creating a large amount of code to get the workflow  
system running for any particular application. On the other hand, the complete-  
solution-with-many-limitations approach included a large amount of code geared  
towards solving a particular application. However, the complete-solution approach  
20      did not apply to a variety of applications. A complete-solution workflow system was  
geared towards a particular Document Management System ((DMS)), Directory  
Services (DS) and DataBase system (DB). If any element of the workflow system  
was changed, a reworking of the workflow system was required. Consequently,  
continual maintenance was required whenever there was a change in a workflow  
25      element (including updates to a workflow element). For example, if a the (DMS)  
was changed to another (DMS), it required code changes in the workflow system.  
Thus, the complete-solution approach was inflexible and not readily adaptable to  
changes to applications.

30      **SUMMARY OF THE INVENTION**

The invention is a workflow system that automates work processes. A desired  
result of the invention is relatively easy deployment and enhanced flexibility. The  
workflow system uses a variety of clients and adapters. A developer can use a  
workflow system provided client to get an application up and running relatively  
35      quickly. The workflow system provides adapters which enables quick (DMS), (DS),  
and (DB) deployment and element flexibility. Adapters have a fixed interface which  
allows the (DMS), (DS), and (DB) to be changed independent of the application in  
contrast to other workflow systems which tie the application directly to the (DMS),

1 (DS), and (DB). The adapters allows developers to attach clients of varying types  
and magnitude and allows developers to mix and match application elements to  
better serve their application. Thus, the workflow system is not tied to any  
5 proprietary (DMS),(DS), or (DB) because the (DMS), (DS), and (DB) do not have to  
be from the same vendor.

10 There are two industry-accepted types of workflow products: Ad Hoc and  
Production. Ad Hoc workflow is designed as an unstructured, free-form workflow  
which puts few, if any, constraints on the process. It may link software components  
15 such as a word processor, spreadsheet program, and electronic mail program/system  
to enable participants to work on shared data. This type of workflow is useful for  
business functions such as sharing ideas, reviewing documents, and processing  
requests for approval. Production workflow strives to ensure that a business  
process follows predetermined rules. That is, each task in the process is regulated  
15 such that the appropriate people have access to the appropriate data and are  
instructed to perform the task at the appropriate time. This type of workflow is  
useful for business functions in which it is important to follow set rules and which  
are apt to be performed in real-time. Examples include sales, purchasing,  
manufacturing, and accounting.

20 The workflow system uses an open architecture to support both these types  
of workflow. It supports multiple platforms and includes Application Programming  
Interfaces (APIs) which enable applications to speak to the workflow engine,  
supports Relational DataBase Management System (RDBMS) databases, and allows  
routing of any kind of work (forms, images, executables). In addition, its flexible  
25 architecture is designed to facilitate changes to a workflow dynamically and to  
support integration with an existing infrastructure.

#### BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 shows the overall distributed workflow system components architecture  
and component interaction of an embodiment of the invention;

30 Fig. 2 shows a block diagram of the various elements involved in creating a  
skeleton and stub.

Fig. 3 illustrates the DD-(DMS)-(DS) structure.

Fig. 4 shows the interaction between the client and (DMS) elements.

Fig. 5 is the workflow system architecture for a single server configuration;

35 Fig. 6 illustrates the default structure of the web client;

Fig. 7 shows a block diagram of the workflow system script framework;

Fig. 8 shows a screen display of the web-based Developer Client.

1 Fig. 9 shows the screen areas and names of the screen layout of the Developer client.

Fig. 10 illustrates the Universal Activity List.

5 Fig. 11 shows a workflow process in the right frame of a screen display.

Fig. 12 shows the graphical representation of activities.

10 Fig. 13 shows the Target Area Toolbar which is used to place nodes and arrows.

Fig. 14 shows a screen display of the web-based Simple client.

Fig. 15 shows the Simple Client view as two elemental frames.

15 Fig. 16 illustrates the E-mail client interface.

Fig. 17 shows the interaction between the application, the elements of the software development kit, and the (DMS) and (DS) objects.

#### DETAILED DESCRIPTION

15 FIG. 1 shows the overall distributed workflow system components architecture and component interaction of an embodiment of the invention. The workflow system 10 is a distributed client-server, web-enabled workflow system/model. In addition, the workflow system is an application development tool for automating collaborative processes and administrative intercompany processes.

20 The workflow system provides a workflow development environment complete with the framework, tools and components necessary to create customized workflow solutions that integrate seamlessly with existing IT infrastructures. For the deployment of these solutions, the workflow system provides a uniform and scalable support infrastructure within the enterprise through a web-based interface. Unlike

25 other workflow solutions which are window-based, the workflow system is web-based which means that the workflow system is accessible from a web browser. Some key features of the workflow system include: Enterprise-wide, scalable infrastructure for handling processes of all types; ability to easily create and modify visual business process models beforehand or on-the-fly (no programming required); feature-rich graphical display for quick assessment of process status and understanding of the big picture; organizable and filterable universal to-do list; immediate notification of assignments; integration with a document management

30 system to centralize the location for documents relevant to a process; accessibility from Web browsers; and Application Programming Interface (API) which allows a developer to create a customized application which communicates with the workflow engine or existing products to be workflow-enabled.

35 The workflow system provides a workflow management framework which empowers business groups to collaboratively plan, automate, track, and improve

1 business processes. The workflow system is not only a model of the workflow, but  
is a development environment/tool for developing the workflow system/model. The  
workflow system empowers the end user in developing and manipulating workflow  
processes. It allows the knowledge worker to define sufficiently meaningful  
5 workflow processes without any knowledge of programming. The knowledge worker  
does not need to write a single line of code in order to add to or develop the workflow  
system.

10 The workflow system provides a framework for workflow-enabled applications  
in virtually any existing IT environment. Its modular design and utilization of  
standard technologies such as JAVA<sup>TM</sup>, Internet Inter-ORB Protocol (IIOP),  
HyperText Markup Language (HTML), and Object Management Group (OMG) and  
Workflow Management Coalition (WfMC) protocols make it a truly interoperable  
product and allow for integration within almost any IT environment. The server  
architecture is a meta-model (model of models) for extending the workflow model  
15 and its elements. The server architecture is an open architecture which enables  
extensive server level integration. Additional components can easily be integrated  
with popular scripting languages such as JavaScript. The application-programming  
interface incorporates JavaBean technology for client extensibility and  
customization. And with the ability to utilize popular, third-party Web authoring  
20 tools, users can customize forms generated in the workflow system in a familiar and  
robust development environment.

25 To provide full functionality support for business workflow, the workflow  
system 10 comprises a workflow engine 12, a Client 14, a Database (DB) Adapter  
16, a Script Adapter 18, and a Document/Directory (DD) Adapter 20 which  
comprises a Document Management System ((DMS)) Adapter 22 and a Directory  
Services Adapter 24. The modular architecture of the workflow system and the  
open pluggable adapter APIs ease the effort of integrating different document  
management systems, directory services, DataBase management systems, and  
server-side script interpreters. Even the client APIs are modularized and  
30 componentized. Thus, the Client, Server, and adapter components may be installed  
on different machines to distribute the load, thereby improving the performance of  
the workflow system.

35 The workflow system connects seamlessly with many popular document  
management systems, directory services, databases, and scripting languages via its  
"adapter object" technology. "Adapter Object" technology enables the server to  
communicate with the necessary IT infrastructure components: Document  
Management Systems, Directory Services, and Database Management Systems. An  
adapter for script interpreters also enables integration with additional components

1 through common scripting languages. This leverages the investment an  
organization has made in its IT infrastructure as well as allowing the integration  
of emerging technologies, thereby protecting against "vendor lock-in." ("Vendor lock-  
in" occurs when an organization is committed to a vendor because of the substantial  
5 costs associated with switching vendors). Moreover, the workflow system requires  
no new supporting workflow applications or infrastructure products to be forced  
upon a Management Information System (MIS). In the preferred embodiment of the  
invention, the workflow system supports multiple server configurations including  
remote subprocesses and workitem notification forwarding. Scalability can be  
10 extended to support at least 100 users per single server.

The main component of the workflow system is the workflow engine. The  
workflow system provides a robust workflow engine for Independent  
Service/Software Vendors (ISVs) and Value Added Retailers (VARs). ISVs have  
their own product and may use other products to enhance their own product. VARs  
15 do not have their own product, but add to other products, thus making a more  
desirable product. As a workflow development tool, the workflow system provides  
ISVs with a fully featured and interoperable engine with which to "workflow enable"  
their existing applications, thereby creating new functionality. Additionally, the  
workflow system provides VARs and other third-party integrators a tool with which  
20 to easily create specialized and robust custom workflow solutions for use in almost  
any IT environment.

In the preferred embodiment, the workflow engine resides on a server and is  
100% Java-based. The workflow engine negotiates interaction between users and  
other components, enacts processes started by users, and notifies users of changes  
25 in status within a process. The workflow engine supports over 100 real-time  
(tethered) users and up to 1000 "casual" (non-tethered) users via the Web,  
simultaneously, all from a single system. For real-time users, no store and  
forwarding is required. As organizations grow and processes evolve, the workflow  
system's modular architecture can easily scale to handle an increase in transaction  
30 throughput.

In the preferred embodiment, transfer of information between the Server and  
the Client occurs over a Common Object Request Broker Architecture (CORBA)  
link. The CORBA interface is a platform independent and language independent  
35 interface, and use of a CORBA interface enables users to interface to objects instead  
of processes. In the preferred embodiment, the server provides a CORBA protocol,  
the Internet Inter-ORB Protocol (IIOP) 26, which is an Object Request Broker  
(ORB) protocol standard of the Object Management Group (OMG). Use of the IIOP  
enables the workflow system objects to be exposed to applications and client tools.

1 In addition, the use of the IIOP enables the workflow system to be highly extensible  
for integration with present and future technologies. The Server transfers mail and  
contains software that manages the network. The Mail Adapter 28 may interface  
to a variety of mail systems. In the preferred embodiment, the Server may use  
5 either the Simple Mail Transfer Protocol (SMTP) 29 or the Short Message Service  
(SMS) 30 for transferring mail. SMTP is an electronic mail system with both host  
and user sections. SMTP is the ubiquitous standard for outgoing e-mail protocol,  
for sending mail to the mail server that is going to be distributing the mail. The  
SMTP user software is often included as a utility in TCP/IP packages for personal  
10 computers. SMS is a system for sending and receiving text messages and is  
implemented in most Global System for Mobile Communications (GSM) networks.  
SMS is the protocol for sending digital pager messages or digital phone messages.

15 CORBA is defined by the Object Management Group (OMG) of Farmingham,  
Mass. OMG published the CORBA/IIOP 2.2 Specification, which is hereby  
incorporated by reference as if set forth herein in its entirety. FIG. 2 shows a block  
diagram of the various elements involved in creating a skeleton and stub. One of the  
central concepts to CORBA is the use of the Interface Definition Language (IDL).  
IDL definitions 100 enable the creation of language and platform independent  
20 clients and objects. A skeleton 110 of an object can be created from an IDL  
definition. The skeleton can then be developed for a particular language for use on  
a particular platform. The object on the server communicates with the client via an  
IDL interface 170. As long as the skeleton is used for the development of an object,  
then the object can communicate with any client that is created using the same IDL  
definition. A stub 120 of a client can be created from an IDL definition. The client  
25 can then be developed for a particular language for use on a particular platform.  
Again, as long as the IDL stub is used for the development of a client, then the  
client can communicate with any object created using the same IDL definition. The  
server and client can communicate with each other via an interface which is defined  
using the IDL. An IDL compiler 130, from a third party vendor, compiles the IDL  
30 code into compiled code for a skeleton or stub. Compiled skeleton code reflects an  
abstract class 140 which when developed is made into a concrete object 150. The  
concrete object then becomes a part of the workflow engine. Compiled stub code  
reflects an abstract client which is also a concrete client 160. The client 14 uses the  
stub to communicate to the server 12.

35 The stub is both abstract and concrete. The developer takes the stub and uses  
it on the client side and there is no more implementation on the client side. On the  
server side, the developer is given the abstract. Then, the developer materializes  
the skeleton and creates a concrete class. When the developer is generating the

1 stub, the developer is generating the concrete as well as the abstract. For the skeleton, the developer has to develop the concrete. For the skeleton, there is a development step, whereas for the stub there is no development step. For the skeleton, the developer defines the interface, then creates the concrete code that  
5 actually implements that interface. For the stub, the developer uses the stub to connect to the implementation.

As shown in FIG. 1, the client runs in a web browser 32. The workflow system client utilizes the native Web user interface, not an ad-hoc Web interface dependent upon a traditional thick client architecture. Since the workflow system utilizes  
10 popular Web browsers, no installation of special workflow related client software is required - resulting in no additional client administration costs. In the preferred embodiment, the workflow system utilizes the popular Web browsers Microsoft® Internet Explorer™ and Netscape® Navigator™. The workflow system provides a web client structure whereby a user may access the engine via a provided workflow system client or a customized client developed using the workflow system's API. Adapter APIs are provided so that a user may develop adapters specific to the user's configuration. Providing default system clients together with their associated APIs allows for rapid customization, extension, and composition of new clients or applications. The default system clients are easy to deploy, manage  
15 and support because of their simple, easy-to-learn user interfaces. The simple user interfaces promote user participation in automated processes.

Unlike other systems, the workflow system adapter technology supports integration of the workflow system with virtually any existing IT infrastructures because the workflow system architecture is adapter-based to allow integration with  
25 third party products. An Information System (IS) infrastructure can be easily integrated with the workflow system. Adapters enable the Server to communicate with the other components. An adapter behaves as a converter which allows the Server to speak to a common interface. Just as adapters, in the traditional sense of the word, are used to connect two parts which do not directly connect, these adapters have a similar function. Only adapters which suit a particular environment configuration need to be installed.

In the preferred embodiment of the invention, the Database (DB) adapter uses  
30 the Java DataBase Connectivity (JDBC) standard and provides the communication mechanism between the Server and a database server. The purpose of a (DMS) is for storage of persistent process attributes. "Persistent" means that if the workflow system power is shut down, no process attributes will be lost. In the preferred embodiment, process attributes are stored on disk upon system shutdown. The database 34 maintains process information. In the preferred embodiment, database

1 adapters include Microsoft SQL Server<sup>TM</sup> via JDBC and Oracle<sup>®</sup> Oracle7<sup>TM</sup> v7.3 via JDBC.

5 When the workflow system starts executing, three objects are available from the naming service: Document/Directory (DD) framework 20, (DMS) adapter 22, and DS adapter 24. The DD Adapter is two adapters rolled into one: the (DMS) adapter and the DS adapter. The DS and (DMS) are autonomous, i.e., exist separate from each other. The structure of the DD framework allows for the (DMS) and DS to be from different vendors. For example, splitting the DS from the (DMS) allows for the use of an Exchange directory with a Lotus (DMS). The purpose of a (DMS) is for centralized "check-in and check-out" storage of documents. The (DMS) is used to store forms, attachments, and templates. The DD Adapter uses the DS to authenticate users and perform role resolution. In the preferred embodiment, supported products include: Light-weight Directory Access Protocol (LDAP)<sup>TM</sup> through Java<sup>TM</sup> Native Directory Interface (JNDI), Microsoft Exchange<sup>®</sup>, and Microsoft NT<sup>®</sup> User Registry.

10 The workflow system can be integrated with any (DMS). A (DMS) adapter is provided for Windows Microsoft Exchange<sup>®</sup> 36, Java Development Kit<sup>TM</sup> (JDK)<sup>TM</sup> 37, and NT<sup>®</sup> File System 38. A DS Adapter is provided for Microsoft Exchange<sup>®</sup> 39, LDAP 40, and Windows NT<sup>®</sup> Users Registry 41. Java provides a view of the file 15 system that is platform independent.

20 The DD adapter, the Directory adapter, and the (DMS) adapter comprise a minimum set of functions to make their use as simple as possible and so that they can be brought up as quickly as possible. FIG. 3 illustrates the DD-(DMS)-DS structure. The DS adapter creates directory session objects 200. The (DMS) 25 adapter creates (DMS) session objects 210.

The DD adapter comprises the following functions: (1) login, (2) logout, (3) get the (DMS) object, and (4) get the directory object.

30 The Directory adapter comprises the following functions: (1) Create a directory session object for a specified user. (2) Destroy a directory session object. (3) Return the list of users for a specified group. (4) Return the list of users in a specified group as one long string. (5) Return the list of groups. (6) Return all the properties (Name-Value pairs) for the specified user. (7) Create the specified properties (Name-Value pairs) for the specified user. (8) Update the specified properties (Name-Value pairs) for the specified user. (9) Delete the properties of the 35 specified user. Item (6) above, the ability to return all the properties for a specified user, is needed by the workflow system to customize the workflow system for the benefit of the person doing the task. Items (7) and (8) above are for creating and updating a user profile, respectively.

1        The (DMS) adapter comprises the following functions: (1) Create a (DMS)  
session object for the specified user. (2) Destroy the (DMS) session object. (3) Return  
the list of documents/directories for the specified path, i.e., provides the document  
members of a folder. (4) Check out the specified file for read or write. It creates a  
5        copy of the file with a unique filename and copies that file onto the client machine  
under the path specified in the configuration file. (5) Check in the given file. (6)  
Return the path of the attachment directory where files are checked out for read  
mode for a particular user. (7) Return the path of the attachment directory where  
files are checked out for write mode for a particular user. (8) Check in the specified  
10      new file to the specified path. (9) Return all drives available on the machine where  
the DD adapter is running.

15       CORBA allows for the use of a naming service. The naming service adds a  
layer between CORBA objects and clients, such that the client does not need to  
know the identity of the object or the server on which the object is running. Rather,  
the naming service contains this information, allowing objects to be moved around  
20      between servers by notifying the naming service without having to notify each of the  
clients that may seek to utilize the object. Use of the naming service in the  
workflow system enables a generic architecture independent of a particular  
implementation. The workflow system utilizes the naming service to distribute and  
partition the load.

25       Each workflow system component has a section in an initialization file. The  
initialization file tells each component that when the component registers with the  
naming service, it will be registered under a name provided by the naming service,  
X for example. The naming service binds X to a (DMS) object. Continuing with the  
example, the initialization file tells the DD framework component that the DD  
framework's name is Z and that the names of the components that the DD  
framework can utilize are X for the (DMS) adapter and Y for the DS adapter. That  
is how the DD framework knows about the (DMS) adapter and the DS adapter.  
30       Similarly, in order for the server to find the DD framework it is looking for, the  
naming service tells the server when the server comes up, that the DD framework  
is called Z. The effect is that the user can bring up another set of adapters on the  
same machine with different names and can let them depend on each other. Thus,  
the workflow system can have another configuration with very different  
components. This allows multiple components to coexist on the same platform.  
35       Consequently, the user can have multiple configurations and can bootdown and  
change the (DMS) adapter just by changing the configuration file. This allows for  
failover. Each of the components can run on a separate machine. If a malfunction  
happens (eg. the (DMS) adapter went down.) on the machine that the component

1       is running on, such as X on host 1, because something became corrupted on host 1,  
the user can transfer a copy of the (DMS) adapter to host 2 and tell host 2 via the  
host 2 configuration file that the name of the (DMS) adapter is X. The workflow  
system goes to the naming hierarchy and replaces the old X with the new X binding  
5       and the whole system works again.

Failover is usually for disaster recovery. The machine crashed, power went off, and the user needs to switch over to another host. The particular component, the (DMS) for example, is binded to the actual object reference. The DD framework talks to the actual object reference. The DD framework does the resolution on the name. The configuration file tells the DD framework that the (DMS) adapter is called X. When the DD framework starts up, it searches for X, and resolves the address for X, associating and binding X to the actual (DMS) object. The advantage is that the system should not ever be down, and should be up 7 days a week, 24 hours a day. Failover is needed to do continuous operation. Thus, when host1 fails, the user switches over to host2 which has the same (DMS) adapter as host1. The system will not stop functioning just because one of the platforms that the system is running on fails or gets corrupted. This failover applies to the whole system architecture. Similarly, when the client starts up, within the client, the workflow system in effect says to the client, "This is the naming service you go and look for the servers on." Hence, the user can selectively access multiple servers from the client, and at the same time that is how the client latches onto the server. So the server may have crashed on machine1, but the workflow system is totally independent of any machine names or specific platforms. The workflow system is only dependent on the naming service. And even if the naming service crashes, it can brought up from another machine. The flexible binding also allows for load partitioning and balancing (distribution of the load) because a workflow system embodiment can have multiple hosts and the Directory adapter can be put on one host, the (DMS) adapter on another host, and servers on yet another machine.

The load partitioning is not a function of the naming service. It is a function of the way the system is set up, of the way that components are allocated to the available machinery. The user can utilize any naming service independent of any particular hardware platform. "Naming service" is a generic term. The CORBA naming service is for CORBA applications. RMI registry is the naming service for RMI. RMI is the equivalent of CORBA for the Java environment.

FIG. 4 shows the interaction between the client 14 and (DMS) elements. The document repository 300, (DMS) Impl ((DMS) implementation) 310, and (DMS) Session Object 320 are separate (DMS) elements. When the user selects an item from the drop down menu 330, the applogic 66 receives the event and sends a

1 message indicating the desired item to the document repository. The document  
repository then commands (DMS) Impl to carry out the selected item. Then, (DMS)  
Impl utilizing WF Manager 68 and DS 24 creates a (DMS) Session Object which  
checks the desired item into a file 340 on the server machine. Once this operation  
5 is done, the document repository provides a set of ftp utilities 350 which takes the  
file and launches it.

FIG. 1 shows the Script adapter 18 and Mail adapter 28 are both coupled to  
the Workflow Engine via an IIOP interface.

10 The Script adapter 18 interprets scripts entered at the client and external  
server-side scripts. In the preferred embodiment, the script interpreter is the  
JavaScript ECMA interpreter 42. The Mail adapter 28 provides the communication  
mechanism between the Server and a mail server. In the preferred embodiment,  
15 SMTP is used. The Mail adapter does not need to be installed if the e-mail  
notification feature of the workflow system is used. The Notification Facility  
notifies the user of assigned work items through E-mail.

The APIs which are provided on the server are open APIs so that the developer  
may develop his or her own adapters which work with other systems. "Open"  
means that the APIs are published so that users may create their own adapters.

20 FIG. 5 is the workflow system architecture 10 for a single server configuration  
44. In a preferred embodiment, the workflow engine is a standalone Java server.  
The workflow system server provides a CORBA/IIOP interface 26 that exposes its  
objects to applications and client tools. The Server updates the Client with status  
changes and updates template and process data per requests. In addition, it notifies  
25 users of tasks via e-mail, SMS, and/or proactive updating. The workflow system is  
e-mail client based.

30 The workflow system server consists of five processes, namely, the workflow  
engine, the DB adapter, the (DMS) adapter, the directory adapter, and the script  
interpreter adapter. The Server communicates with the DB adapter to maintain  
process state data, process and activity-relevant data, and process history  
information. The Server controls database request queues. The Server interacts  
35 with the Script Interpreter by passing it scripts via the adapter and accepting  
results. The Server communicates with the Document/Directory (DD) adapter  
which holds the user's context, maintains pointers to the location where (DMS)  
forms and attachments are stored, and accesses the Directory Service to perform  
authentication and role resolution. When a user logs in, they get a client id. With  
the client id, the user can get a directory session object or a (DMS) session object  
which reside in the directory adapter or the (DMS) adapter, respectively. The  
directory adapter and the (DMS) adapter are the factories for the directory session

1 object and (DMS) session object, respectively. The interface between an application  
on one hand, and the (DMS) and DS on the other, is implemented with concrete  
classes. The (DMS) class and the DS class have interfaces on the client side. The  
advantage of using the workflow system (DMS) and DS APIs, is that a user can take  
5 a client application and run it on another system with another (DMS) and DS. The  
user can replace the adapter without disturbing the interface.

In the embodiment shown in FIG. 5, the (DMS) adapter 22 is the NT File  
10 system adapter for interfacing with the NT file system. The directory adapter is the  
NT User Registry adapter for interfacing with the NT Users Registry. The  
 DataBase Management System (DBMS) adapter 16 is a System Query Language  
(SQL) adapter, the Java Database Connectivity (JDBC) adapter, for interfacing with  
an SQL server 46. The script interpreter adapter 18 is the JavaScript adapter for  
interfacing with the JavaScript interpreter 48.

The workflow engine accesses the DBMS through the DBMS adapter, the  
15 directory services through directory adapter, the document management repository  
through the (DMS) adapter, and the script interpreter through the script adapter.  
The workflow engine utilizes the DBMS to support the persistify workflow  
processes; the directory services to carry out authentication and role resolution; the  
20 (DMS) to store attachments, forms, and process template files; the script interpreter  
to evaluate server-side scripts.

The workflow system architecture is a layered system with an open  
architecture. In order to open the workflow system to a variety of elements at each  
layer, the Client runs in a web browser and the client architecture is comprised of  
25 a combination of Java applets and JavaBean components. FIG. 5 indicates access  
to a default web client configuration 50 via Internet Explorer 52. The default client  
configuration comprises two client component layers: a model layer 54 and a user  
interface (UI) layer 56. The IIOP is at the interface level. The models are layered  
above the IIOP layer. The User Interface (UI) is layered over the model layer. The  
model layer can be viewed as an intermediary layer between the Server and the UI.  
30 The model layer encapsulates the state of the client objects and interacts with the  
Server via CORBA IIOP. The UI components are for Web-client presentation and  
can be customized to meet the visual needs of the user. If a user already has a UI,  
then the user only needs the workflow system APIs in the model layer. The Web  
client (Model and UI components) can be easily reconfigured, extended or  
35 customized in the palettes of third-party Web-development tools such as  
JavaStudioTM from Sun Microsystems®. The Web client can be easily reconfigured  
due to the modularity and customizability of the client components. The  
modularity and functional breakdown of the client components allows for easy

1 reconfiguration. The Bean components allow for customization and extension through builder tools.

5 In FIG. 5, the client communicates with an Internet Information Server 58 via the HTTP protocol 60. The HTTP interface is a URL based interface that is responsible for providing dynamically composed web pages to and from the client. An Internet Information Server's Active Server Page (ASP) 62 communicates with the workflow system server via the CORBA IIOP.

10 FIG. 6 illustrates the default structure of a web client. The web client comprises a combination of Java Applets and/or JavaBean components. These client components are wired together using Java Script and HTML 64. The Client is componentized so that all java beans can operate stand-alone. Implementation solutions may use all or some of the java beans.

15 Systems other than the workflow system have web clients, but they are not truly open. Other system's clients have limitations that are tied to proprietary systems and are limited in large part due to migration issues. Other workflow systems have failed because they required software to be installed on user machines. They were client-server based instead of being web-based. The workflow system has its clients on a web server rather than on a user machine.

20 The component architecture for the workflow system Client is based on JavaBeans because JavaBeans allows users to flexibly reassemble software user interface components, thus allowing the user to create a workflow system which best suits the user's needs. The beans allows the user to access and manipulate all aspects of the workflow system, including its administration. The workflow system functionality can be extended and/or integrated with third party products and tools. 25 Since JavaBeans are platform-neutral, the developer can develop for any OS within any application environment.

30 The client components are strictly structured in two layers, namely a model components layer and a UI components layer. Model components are used to encapsulate the state of the client objects and interactions with the server via CORBA IIOP. The purpose of the client UI components is to provide different components of the workflow system user interface, e.g. organizer, thumbnail overview of the process, or detailed view. These components will not be maintaining client objects or carry out interaction with the workflow system server. The client components are designed so as to be easily imported to the palette of visual development tools such as Visual Java Script from Netscape or Visual Studio from Sun Microsystems. Having such components available for third party tools allows 35 the easy reconfiguration, extension and customization of the client. Thus, if a user

1 does not wish to create an entirely new client from scratch, he can customize the  
default workflow system client, thereby creating a custom client.

5 The model components include the Application Logic (AppLogic) 66, the WorkFlow (WF) Manager Model 68, the Form Model 70, the Workitem Model 71,  
the Process Model 72, and the Template Mode 74. In FIG. 6, the names between  
the parentheses, other than HTML and JavaScript, are the class names. The  
Application logic model is responsible for the coordination and event dispatching  
among all components of the client. The WFManger model is responsible for  
10 login/logout and retrieving lists from the server. The Form Model is responsible for  
the data exchange between forms and the process component. The Workitem Model  
is responsible for workitems, i.e., any activity which awaits to be addressed. The  
Process Model is responsible for process instances. The Template Model is  
responsible for plans, i.e., process templates.

15 To support comprehensive report generation, the UI is comprised of the Menu  
& Tool Bar 76, the Organizer 78, the Overview 80, the Process/template  
viewer/editor 82, the Activity control bar 84, the Activity detailed view 85, the  
Activity response bar 86, and the form view 88. The Organizer presents list of  
processes, process definitions, and workitems. The Overview presents a miniature  
20 thumbnail overview of a selected process or a process definition. The thumbnail  
overview is a graphical representation of the selected process or process definition.  
The Process/template viewer/editor enables the viewing/editing of processes and  
process definitions. The activity bar enables access to attachments and forms. The  
response bar enables the user to specify the completion of an activity with a  
particular choice. The form view presents the content of a user-defined form.

25 The Thin Client is a subset of the Full Client. The activity detailed view  
comprises the activity bar 84, the response bar 86, and the form view 88. An  
embodiment of the invention may have either the thin client view or the graphic  
view displayed wherein they do not coexist at the same time; however, the user can  
30 switch between the thin client view and the graphic view for the same activity. The  
thin client view and the graphic view can be substituted for each other because they  
are different ways of viewing an activity. The three pieces of the thin client or the  
graphic view comprises the target area of the Developer Client screen layout.  
Another embodiment of the invention may have both the thin client view and the  
35 graphic view displayed at the same time.

The workflow system allows a knowledge worker to define meaningful  
workflow processes by creating process models without having to do any scripting  
or programming. These process models are easily created and modified visually,  
either before process initiation or "on-the-fly," with the feature-rich graphical user

1 interface. A process model is implemented via a process instance. A process  
instance is a collaboration medium by which a workflow process is modeled. A  
process instance is created from a plan template. A process instance is composed  
5 of a shared data space referred to as process attributes and a plan (a.k.a. process  
definition or template). A process attribute could be a persistent data element or  
a link to an external information source such as a document. Process attributes are  
sometimes referred to collectively as process-relevant data.

10 Both processes and activities may be active. An active process or activity is  
one that is awaiting human response. Many process instances can be active at any  
one time and can be created from the same or different plan templates. Process  
templates can be edited offline and can be dynamically edited online. Process  
change control dynamically updates process instances and plan templates. The  
process instances continue to be related to the plan template from which they were  
15 created, thereby allowing a user to modify a plan template in run time by modifying  
the characteristics of a process instance. A process instance can be used to create  
a personal template. The platform independent nature of the CORBA interface and  
the JAVA language within the embodied workflow architecture enables process  
instances to be on many different computer platforms and enables the dynamic  
modification of both the process instances and the plan templates. Since the  
20 workflow system is not tied to any one computer system, the workflow system does  
not place any size restrictions on template and process sizes.

25 A plan is composed of a set of nodes that are networked via arrows. Each node  
represents an activity (business activity) or a flow control operator. Arrows  
represent a path between two nodes. An activity is capable of generating events on  
their outgoing arrows when they are in an active state (ready to be performed), and  
more than one activity may be active at a time. Different node types may have  
30 different behavior in responding to incoming events. A node can be assigned a role  
if it represents an activity that requires the involvement of a user. Roles are  
associated with users and are maintained in an organization directory. Multiple  
users may be assigned the same role and a user play multiple roles. There is a  
special node that identifies the starting point of a plan referred to as a start node  
and another that identifies a termination point in a plan, referred to as an exit  
node. A valid plan must have one start node. A plan may have more than one exit  
35 node. Nodes have attributes of their own.

35 All aspects of a process including its plan may be modified at any stage of its  
life cycle. A process can be created using an incomplete plan. Modifying and  
extending a process plan at any time is one of the salient features of the workflow  
system. When a process instance is created, it is assigned a plan to enact. A

1 process instance can be thought of as a plan in execution. Plans are static, reusable  
process models. After a process instance is created, it could be activated either  
manually or automatically. The activation of a process causes its start node to  
become active and immediately generate events on all its outgoing arrows.  
5 Different node types may have different behavior in responding to an event arriving  
on one of their incoming arrows.

The workflow system has a set of predefined node types which include the Start Node, the Exit Node, the Condition Node, the OR Node, the AND Node, the Activity Node, the Subplan, and the Split Activity Node. Each node has its own attributes. The Start Node demarcates the starting point of a plan. Any plan must have a start node. The Exit Node demarcates a termination point of a plan. The exit node causes the process to terminate, when it receives an event on one of its incoming arrows. The Condition Node provides conditional branching. The Condition node is a process flow control node which halts process flow unless a specified criteria is satisfied. Each one of its outgoing arrows can be associated with a condition. The condition is specified as relational expression relative to a specified process attribute. When a condition node receives an event on one of its incoming arrows, it generates an event on the first outgoing arrow whose relational expression evaluates to true. If all expressions fail to evaluate to true the an event is fired along the default arrow. The OR node is a process flow control node which continues process flow as soon as it is reached. The OR Node starts parallel branches by generating events on all outgoing arrows when it receives an event on any of its incoming arrows. The AND node is a process flow control node which forces activities to be synchronized. The AND node joins parallel branches by generating events on all its outgoing arrows when and only when it receives an event from each of its incoming arrows. The Activity node is a graphical representation of an activity that requires user interaction. When this type of node becomes active all members of the role assigned to the node are notified. Notification can be routed to the client or via E-mail (according the user's profile).  
10 The activity node can be assigned one or more forms to allow user access to the attributes of the containing process. An activity may also be assigned one or more files as an attachment. The Subplan node allows the user to reuse an existing plan into the body of another plan. The Split Activity Node is an activity node that is automatically replicated at runtime. Each of the activity replicas is assigned to one  
15 of the members of the role assigned to the node.

20 The Workflow system set of predefined arrow types includes an arrow which connects two nodes by propagating events generated by its predecessor node to its successor node. Each arrow has the label property.

1        Each node has its own attributes. All Node types have the following  
5        predefined properties: Label, Prolog script, and Epilog script. Each node, like a  
process, can have user-defined attributes. User-defined attributes can have a name  
and value type that the user specifies at design time. The Activity Node and Split  
5        Activity Node have the following additional properties: Role, Description, Forms,  
Attachments, and Priority. Every activity node has a dynamic property referred to  
as choices. The choice property enumerates the node's outgoing arrows. The choice  
property is used to enable the user to go to the arrow on which an event is  
propagated.

10      Within the workflow system, tasks are assigned to users through "roles." (A  
role is the logical grouping of a set of users, such as the user groups contained  
within an organizational directory, e.g., LDAP). The workflow system can easily  
handle changes or uncertainties in task assignment with Dynamic Role  
Assignment/Management: the dynamic assignment of users to tasks depending on  
15      position, workload, or some other user-defined variable through scripting. This  
feature allows a process to continue uninterrupted should a person assigned to a  
task be unavailable. It also eliminates the need for the process definition to be  
updated each time there are personnel changes. The flexibility to assign or reassign  
personnel during process definition and after initiation greatly simplifies the  
20      maintenance of a workflow solution.

25      An activity at design time is assigned to a role. At runtime, that role is  
resolved into a user. The workflow system searches the directory to see who can  
carry out the role. The purpose of the role is to identify the users capable of and/or  
authorized to carry out the task represented by the activity node. These users are  
also referred to as the Assignees of the activity. Each activity node or split activity  
node is assigned a role. Assignees are notified of their assignment to work on  
activities.

30      Any workflow system user can be assigned to multiple roles. The role  
information is maintained in the user directory service. The workflow system server  
accesses the directory service to authenticate users and identify their assigned roles  
and their capabilities in accessing and manipulating processes, activities, and their  
attributes. The use of roles eliminates the need to modify every process definition  
when there is a personnel change. Instead, only the group definition in the  
35      Directory Service needs to be updated.

35      An activity node may be assigned a static role such as clerk or a context  
sensitive role such as managerOf. A context sensitive role is specified as a Java  
script. The java script is evaluated at node activation time. Evaluation of the script  
will return one or more users to be assigned to the activity. The workflow system

1 provides a set of JavaScript commands that support the implementation of context  
sensitive role resolution.

5 A subprocess is a plan that is instantiated and associated dynamically with an activity node that is active. When a subprocess is associated with an activity node, the activity node is suspended and the associated subprocess is activated to carry out the task represented by the parent activity. This feature provides autonomy to the user responsible for carrying out an activity to decide the best course of action for accomplishing the activity's goals. When a process plan permeates multiple organizations it is not practical to assume that all organizations behave the same way in carrying out a particular activity.

10 Scripts can be associated with the plan and its nodes to extend their functionality and provide automation of activities that does not require user interaction. Scripts are evaluated by the server and in the preferred embodiment are in the Java Script scripting language. Scripting automates tasks, thereby allowing tasks to be performed without user involvement. Scripts can be created to manipulate attributes of a process and scripts enable access to external applications/systems, thereby providing a user-defined extension framework.

15 Scripting is a language needed to complement the graphic designer. Sometimes, the graphic paradigm does not enable a user to easily and practically define something that is algorithmic, procedural, or arithmetic in nature. Thus, a user often has difficulty graphically designing an arithmetic expression like "x+y." However, in a scripting language it is much easier to do arithmetic expressions. Scripting allows access to process attributes via standard script extensions. The provided script extensions lets users access process attributes because users often want to do arithmetic operations on attributes of a particular process. Scripting is also another means for a user being able to reach out to external systems through the workflow system framework.

20 A java class which has public methods on it can be designed using JDBC, IIOP, or DCOM, to be able to reach out to different applications. DCOM is Microsoft Distributed COM Object . COM stands for component. Microsoft has a component model that is very similar to Java in nature, but it is proprietary. DCOM is the distributed component model and is a way for accessing a remote item. DCOM and IIOP gives users access to different applications. If the application lends itself to DCOM, then the user can access DCOM. The idea is that the user builds the Java class whether it utilizes JDBC to access databases, IIOP to access IIOP accessible applications, or DCOM to access DCOM applications. The user inputs a configuration file to tell the server to load the java classes into the script adapter.

1        The (DMS) and DS are important enough that users need an adapter  
particularly for these. The script adapter is needed for other types of items. The  
Script adapter plays an important role in context-sensitive role resolution.

5        In designing a process, a user may specify an owner role and/or owner role  
script. For a particular activity, the process owner may specify an assignee role  
and/or an assignee role script. The process owner is not required to use both the  
assignee role and assignee role script, but may use any combination of them. When  
an activity has no assignee role and no assignee role script, the activity gets  
assigned to the owner of the process. When an activity has an assignee role (E.g.  
10      Role: claim adjuster), but no assignee role script, the process owner is saying that  
he knows statically who the people are who need to work on the activity and that  
one of them will have to do the activity, e.g., requiring a person who is a member of  
the claim adjusters to be assigned the activity. The claim adjuster role suffices in  
this case because it is not necessary that any particular claim adjuster handle the  
15      activity. In contrast, suppose at a later point in the process, the user wants to say  
that the person who did activity, A1, is also the person who must do activity, A2.  
Such a case requires a script. This is the case where the script wants to find out  
who did activity, A1, and wants to assign that person activity A2. The same actor  
20      who did activity, A1, gets assigned activity, A2. The actor is the person who actually  
did the task. No assignee role is specified because there are no particular  
qualifications outside of having done activity, A1, that the assignee must have.  
However, an assignee role script must be specified to ensure that the person doing  
activity, A1, does activity, A2. In the last permutation of the assignee role/assignee  
25      role script combinations, both the assignee role and assignee role script are  
specified. In this case, everybody in the organization can ask for approval. The  
script is implemented to FIG. out the actor and approval is by the manager of the  
actor, but the owner of the process wants to make sure there is no programming  
mistake, that the person specified by the script has certain qualifications and that  
is where the role comes in. The role has approval authorization, power of signature.  
30      Whomever is the member of this role has the power of signature. The final  
determination of the assignee is the intersection of those who satisfy the script and  
those who satisfy the role. Role resolution occurs by role or by role script.  
Similarly, whoever gets assigned as the owner of a process has to meet the owner  
role and/or owner role script.

35      FIG. 7 shows a block diagram of the workflow system script framework. The  
script adapter 18 is an adapter for connecting a script language interpreter 42 to  
the workflow engine. In the preferred embodiment, the script interpreter is a  
server-side script interpreter. The script interpreter processes script commands.

1      The purpose of the script interpreter is to provide access to external applications via  
the Dynamic Invocation Interface (DII)/IIOP or Java extensions. The script  
interpreter interprets scripts entered through client and external server-side  
scripts. The script interpreter allows invocation of external server-side CORBA  
5      objects. The predefined script interpreter commands 400 provide the user who  
wants to write scripts access to the attributes of a process, activity, or system. The  
user extension framework 410 allows customers to add new script commands to the  
Java script interpreter and allows customers to develop Java classes whose methods  
can be used as commands from within the Java script interpreter. The user  
10     extension framework's purpose is to allow the customer to access external databases  
and applications; thus, enabling data flow between user-defined attributes of a  
process and the outside world. In the preferred embodiment, Java Native method  
Invocation (JNI) is used to implement the user extension framework in the Java  
script interpreter. JNI is a technology offered by Sun to allow interoperability  
15     between Java applications and non-Java applications. In the preferred  
embodiment, the script interpreter uses the JavaScript ECMA language. The  
Virtual Machine 420 is the Java language interpreter. Java is an interpreted  
language as opposed to C++ which is a compiled language and because Java is an  
interpreted language, Java code is portable.

20     Client side scripts are used for workflow system forms. Client scripting  
depends on the browser. Whatever scripting is available from the browser is  
available from the workflow system. Client side scripts may be any scripts  
supported by a browser. The workflow system provides additional script  
components that enable scripts associated with the workflow system forms to access  
25     the process's and activity's attributes. Extending client side scripts with platform  
dependent functionality is available through the browser. The scripting that is  
available from the browser whether it is native to the browser or something that  
requires plug-in, is also made available through the workflow system. The scripts  
that a user is allowed to use on the client side are whatever the browser offers or  
30     whatever a user can extend the browser with.

35     In the preferred embodiment, the workflow system uses the European  
Computer Manufacturers Association (ECMA) standard JavaScript. In addition to  
the ECMA standard built-in commands, the workflow system provides additional  
commands for accessing and manipulating various aspects of a process and  
activities. The workflow system also allows third party integrators to extend  
JavaScript commands with their own extensions. The set of JavaScript commands  
can be extended in two ways: (1) Create a new JavaScript function based on the  
available functions, save to a file, then make such functions available by loading it

1 to the JavaScript interpreter; and (2) Create a java class whose methods can be  
invoked from within the server-side Java Script. The java class method is used if  
access to external sources or external applications is needed. The purpose of these  
extensions is to allow the workflow system scripts to access legacy applications and  
5 external data stores through CORBA and Java.

10 The benefits of scripting include creating java classes, loading java classes, and  
allowing a script to have access to java classes. The JavaScript Interpreter includes  
built-in functions to allow loading of Java classes into the script adapter and their  
being accessible to a script. Two types of scripts that are process related scripts are  
the Owner script and the Role (assignee) script. The Owner script computes the  
owner(s) of a process instance. The Role script, also known as the Assignee script,  
computes the assignee(s) of an activity. Both of these scripts enable dynamic role  
resolution in the workflow system.

15 Two types of scripts may be specified for a plan. These plan-level scripts are  
the Init script and the Commit script. The purpose of the Init Script is the  
initialization of process attributes. The Init script is evaluated once when a process  
instance is created. The purpose of the Commit script is to validate the process  
attributes prior to the commitment of any transaction. The Init script and Commit  
script are both server side scripts.

20 Two types of scripts may be specified for an activity and conditional node;  
namely, the Prolog script (also called Body script) and the Epilog script. The Prolog  
script is evaluated when a node is activated, while the Epilog script is evaluated  
when a node is completed. An epilog script may also be specified for OR nodes and  
And nodes. The Prolog and Epilog scripts are server side scripts.

25 Form creation is simple and does not require any database knowledge. In the  
past, there was a lot of database jargon that a user had to know in order to deal  
with process attributes. In the past, there were several steps that had to be taken  
before defining process attributes. Database data had to be defined; table fields had  
to be specified; and tables required initialization. Rows in a table had to be initialized  
30 before the table could be used from within a process. In the preferred embodiment,  
process attributes are defined graphically and are independent of database jargon.  
The workflow system does not require users to know any database jargon.  
Databases have a lot of idiosyncrasies, but since the workflow system defines  
process attributes graphically, process attribute definition is totally independent of  
35 the database.

A path to an HTML/Java Script form or any other web application or a  
document can be associated with an activity node. Forms are essential in any  
workflow management system and provide a means of exchanging information

1 between the workflow system and other applications. Forms are created by  
specifying the process data items which will be displayed on the form. They can be  
associated with a process definition or instance. In the preferred embodiment, the  
workflow system uses HTML/Java Script form routing. Attachments, on the other  
5 hand, are free-form pre-existing documents which serve solely to present static  
information. Attachments may only be associated with process instances.

The Form Editor integrates with multiple third party tools which allows flow  
designers to customize and extend forms that are automatically generated from the  
workflow system process design tool.

10 The workflow system process design tool is the graphic designer for a process.  
"Process designer" and "graphic designer" are interchangeable terms. The process  
designer helps the user specify the elements of a form.

15 The Form Builder has two elements: (1) What are the process attributes that  
are in the form? Data content; and (2) Presentation and layout. The forms  
modularity allows for flexibly replaceable components. The graphic designer tool  
will help the user create a form based on the contents that is specified by the user.  
The user specifies what process attributes that the user wants on the form. Then  
the graphic designer generates/gives the user an HTML form. Since the workflow  
system graphic designer produces an HTML form, the user is able to use a large  
20 number of commercially available tools for customizing HTML forms. The graphic  
designer generates an HTML form with the specified data elements on it and with  
the hooks to the SDK run file so that the user can retrieve the elements and update  
them. The form is generated automatically from the user-specified elements and  
the server, through the SDK. There is a large industry for Web authoring tools.  
25 Page Mill from Adobe, Front Page, Net Fusion, and Visual Page are all web  
authoring tools that can take the html form and let the user design the layout and  
representation that the user likes. This is one way to make the form look nice. The  
user can also take the form and apply JavaScript and HTML to it without using any  
tools. The automatic generation of an HTML form creates a value chain for the  
30 workflow system. The form not only allows a user to interface with the server to be  
able to extend attributes of the process, but the form is also a medium for  
exchanging data with the outside world. Through these tools or through Java and  
html scripting, the user can take the generated form that got generated with a  
bunch of fields that are sort of wired/connected to the process through the server  
35 and add new data elements using either the web authorizing tools or using the  
scripting which allows the user to interact or exchange data with external data  
sources. This automatic form generation has eliminated the need for a proprietary  
form builder tool. Thus, developers who are going to be customizing, developing,

1 and extending these forms only need to have html industry wide experience which  
is a standard type of knowledge for web authoring.

5 Form generation is automatic. The innovation is doing the automatic generation of html forms because then the user can take advantage of the available commercial technology. The user can put some elements on the form using the web authoring tools or use scripting to exchange data with the outside world. Data may be exchanged with another database or with products like PeopleSoft etc. Through scripting or the tools, the user can also exchange data between the outside world and the process.

10 Just as the generation of HTML forms takes advantage of other technologies, the structure of the clients takes advantage of other technologies because most of the clients are at their core, HTML. For example, the thin client is basically an html form equipped with some applets. Consequently, the thin client can also be taken into the web authoring tool and customized.

15 Users can customize forms to suit their applications. The workflow system provides a mechanism for generating simple, austere forms. To embellish the form or to create hooks to other applications, a workflow-generated form can be pulled into any tool capable of modifying HTML pages, such as any HTML form editor, and the desired changes can be made.

20 There are limitations on customizing forms. Virtually any web authoring tool or even a text editor can be used to modify the html form created by the workflow system. However, the only requirements are that the form first be created with the workflow system and that neither the semantics of the fields within the form nor the form's filename and location be altered. The form must be created with the workflow system for two reasons: (1)The workflow system captures the proper semantics of the template's user-defined attributes and embeds this into the form; and (2) the workflow system remembers the context of the form so that when an activity becomes active, this context is recalled and expected of the form regardless of which medium was used to modify the form.

30 The forms generated by the workflow system are stored on the workflow Server machine and consist of a single column of fields. These fields represent user-defined template attributes (also referred to as dataitems). The appearance of the form may be changed so that there are multiple columns, a border is added, color is added, etc. Such presentation style alterations can easily be done with most any web-authoring tool. Examples of changes which require a more thorough understanding of HTML and JavaScript include: (1) changing a field into a different UI component, such as a checkbox; and (2) adding enhanced functions, such as to incorporate links to other repositories to accommodate database queries. The client

1 invokes a form and some form fields are updated from the client's detailed view. Likewise, the user input from fields updates activity attributes.

5 A typical workflow application may include the following functions: Connect to the server; construct a process definition (template); obtain a work list, process definition, or a process instance list; view the history of a process; obtain statuses of processes and activities; start a new process instance; modify a process instance; define and associate a form with a process definition or instance; associate an attachment with a process instance; and execute an activity choice option.

10 The workflow system provides "out-of-the-box" Web clients. These predefined clients provide varying degrees of user participation and notification for all types of users. The workflow system has a modular componentized client structure. All the clients are built out of the same components. All the Client user interfaces are based on a few components. All the components are strung together using HTML and JavaScript so the components can mixed and matched or even deleted from the 15 client using HTML and JavaScript. The functionality of the clients are arranged differently depending on usage. For organizations which require custom solutions, the workflow system Web clients utilize JavaBean component technology, enabling the client to easily be reconfigured, extended or customized in the palettes of popular third-party Web development tools. Each one of the components 20 implements certain interfaces. The idea is that if a user does not like the way the interfaces are being presented, the user can build his own interface the way the user likes it. For example, the package Appinterfaces is the public interface (ThumbnailView) for the thumbnail overview. As long as the user implements this 25 interface, the user can remove the workflow system thumbnail overview and plug his in, similarly with the rest of the components. ThumbnailView is an interface which is able to identify the plan (template) or process instance which is currently displayed or dictate the plan (template) or process instance which is to be displayed. It supports selection update on an activity and process instance. Just as a user can 30 substitute his own thumbnail overview for the workflow system thumbnail overview, the user can also substitute his own organizer interface for the workflow system organizer interface as long as the user implements the organizer public interface. A major purpose behind the component structure of the interfaces is that a user can provide his own interface for a given client.

35 The various components are separate HTML pages; therefore, they can run on separate browsers on the same machine. The way they interact and know about each other is that when one of the applets gets loaded, the first thing it does, is register with the applist class which is like a client registry. When one of the components comes up, it registers with the applist class and that is how the

1 applogic knows about them. If one of the forms from the E-mail client is selected  
and the form is launched from a separate html browser, the form registers itself  
with the applist. In turn, the applist notifies the applogic. The applogic keeps track  
5 of the current context for a user. It keeps track of the form and/or process for a  
given user, so that it would know what instance of process that it has to go to get  
the attributes for.

When a form is selected, an HTML form is automatically generated with  
functionality embedded in it. Once the form is generated, connectivity to the server  
happens without the user having to do anything further. A generated HTML form  
10 contains a smart embedded applet. Any html editor or any browser can bring up  
this form without the Java applet interfering with any of the form functionality.  
When the HTML form is brought up, the applet is able to go to the web server,  
connect to a process and connect to an activity inside the process so that the  
workflow system knows what data is being entered by whom at what point  
15 anywhere in the world.

When the workflow system generates a form which has user attribute data,  
the workflow engine follows the connected process to its activities. Whenever the  
user bring up a form, the form's fields are available to the server engine and if the  
user were to enter any data or change data, the server engine would know it. The  
20 server engine packs the data and the workflow system knows who has done a  
read/write and who did what, all of which the workflow system does with pure html.  
The advantage of the workflow system using an outside published standard, i.e.,  
HTML, is that functionality is provided without the user having to learn the  
internals of a proprietary tool that the user would have to learn in order to connect  
25 applications.

The workflow system lets the user specify the attributes which need to go on  
the forms. On the forms itself, there is the invisible form applet. The applet can  
figure out how to go to the server and get the information it requires to populate the  
form fields. And when it is done, it is able to output the information to the server.

When the form is displayed, the display of the form assumes the existence of  
the rest of the client. When the form comes up, it handshakes/registers with the  
applist and gets generated to applogic. Applogic sets the context for the form. The  
form knows what kind of element it will display, e.g. nametype, and the applogic  
provides the form with the process instance it refers to and relevant to which  
35 activity the form applies. Applogic provides the form the PIDx (process id) and  
AIDx (activity id). The form has an html address, but if the user goes to a browser  
and selects the URL from the form without any client object, the form will not be

1 able to do anything. The thin client is equipped with all the machinery necessary  
for the form applet so it has the context for the process instance.

5 The workflow system provides the following predefined clients: Developer  
(Fat, Full) client, Simple client, Instantiation (New Process) client, E-mail (Thin)  
client, and workflow administrator. The workflow administrator provides  
authorization for activities and the workflow administrator user type is someone  
who has authority. The Developer client is comprised of the Simple client, the  
Instantiation client, and the E-mail client. The Developer client includes all the  
10 functionality of all the other clients. Every client function is offered by the  
Developer client. Subsets of the Developer client are offered by the other clients.  
The Developer client is used to create plan templates, instantiate processes, and  
access and respond to workitems. The Developer client user type is a process  
designer or personnel responsible for designing and implementing processes. The  
15 Simple client is used to access and respond to workitems and to occasionally  
instantiate processes. The Simple client enables the end user to retrieve work list  
and fill forms and view/edit attachments associated with assigned activities. The  
Simple client user type is personnel responsible for implementing and participating  
in processes. The Instantiation client enables the casual user to browse the public  
20 workflow plans and create new process instances. The Instantiation client user  
type is personnel responsible for implementing new processes. The E-mail client  
is used to respond to workitems. The E-mail client is a URL launch-able client that  
provides a view of a single assigned activity. The E-mail user type is an infrequent  
user responsible for carrying out assigned tasks only.

25 The workflow system provides collaborative workflow for "online, real-time"  
users. The workflow system was designed for workgroup participation that involves  
collaborative effort to complete a task or a process. The participants in this process  
tend to be online (feathered) and work on tasks in real-time. The workflow system  
accommodates these users with two different types of browser based clients: a  
Developer Client and a Simple Client.

30 The Developer client, which contains an intuitive graphical designer, is used  
to define a process plan in the workflow system. FIG. 8 shows a screen display of  
the web-based Developer Client. The Developer Client provides a rich development  
framework where the attributes of a workflow (such as activities, participants, and  
forms) can be defined. Once defined (created), the plan is stored as a "process  
35 template" and can be modified or initiated as a process. Although it is primarily  
used for process definition, the Developer Client also enables users to participate  
in active processes because the process can be initiated (started) and edited - even  
during execution. Thus, the Developer Client allows users to work online in real-

1 time (tethered users). Only the Developer Client can define and/or modify a  
plan/template. Via the Developer Client, Web-based forms can easily be created  
using a simple internal form editor/generator. Forms can also be customized in the  
development environment of popular third-party Web authoring tools. The  
5 Developer Client enables: viewing and editing of attachments which supports  
check-in and check-out; circulation of "master copy" of attachments -- many read,  
one write; creation of plans with point and click functionality; prevention of multiple  
attachment copies of "change and merge"; and flexible process design which is not  
fixed or locked.

10 The Developer Client is divided into several interacting areas. FIG. 9 shows  
the screen areas and names of the screen layout of the Developer client. The screen  
layout shown in FIG. 9 is applicable only to the Developer Client.

15 The Menu Bar 500 provides menu commands for performing many  
application-wide functions. The menu items are shown in Table 1. The Toolbar 502  
provides buttons as a quick alternative for performing the most frequently used  
menu commands. Table 2 shows the buttons that are displayed on the Toolbar. The  
Auxiliary Information Bar 504 which is also known as the Status Bar displays help  
tips and status information. The status information provides the status of the  
20 workflow system and/or items within the workflow system.

25 The Organizer 506 is an interface of objects providing support for selection  
update within the Organizer UI component. The Organizer area is a file cabinet for  
process templates, processes, and activities. With the Organizer, the user can filter  
cabinet drawers so that only those items which satisfy a specified criteria are  
displayed. Items can be sorted in a way that is meaningful to the user. When the  
user selects an item in the Organizer, the Overview Area and Target Area are  
populated with information relevant to that item. The Organizer uses color and  
20 icons to visually communicate many useful details. The activities in the Organizer  
is the same as the activities in the Simple Client.

30 The Overview area 508 displays a granular, miniature illustration  
(thumbnail) of the workflow for the process/template which is selected in the  
Organizer and displays full-scale in the Target Area. This allows the user to see  
at-a-glance activity types and relationships of activities within a process. For  
processes, the user can also see at-a-glance the status of the activities within the  
process. In the thumbnail view, color identifies the completion status of an activity.

35 The Target Area 510 is used for multiple purposes. The Target Area is where  
you respond to an activity or view/modify the characteristics of a process/template.  
The information displayed in this area is controlled by selections the user makes in  
the Organizer or Overview Area. The user can view two types of information:

1 activity-specific information (also known as Detailed View) and process/template  
information (also known as Graphical View) such as attributes and workflow.  
Activity-specific information is displayed to see the details about an activity and to  
respond to an activity. The user can display activity information by selecting an  
5 activity in the Activity List. When an activity is selected, a workitem view is  
displayed in the Target Area. That workitem view is a detailed view and is exactly  
the same as the workitem view in the e-mail client. The detailed workitem view is  
a detailed view of the workitem regardless of the layout of the display. The  
elements are the same. The elements of the workitem view are some activity and  
10 process attributes, attachment lists, forms, and controls that help to add and choose  
attachments. The process/template workflow is displayed to graphically see the  
relationship of activities within a process/template and to modify the  
process's/template's characteristics. The usage of color in the workflow has the same  
15 meaning as color in the Organizer and Overview Area. The user can display a  
workflow by selecting a process/template in the Process/Template List or by  
selecting an activity in the Activity List and clicking Graphical View. To expand the  
size of the Target Area, select the View menu Heighten Canvas or Widen Canvas  
menu option. This expands the scrollable area.

20 The primary activity that a typical, every-day user will be engaged in is  
participating in a process once the process has been designed and implemented.  
Webster's dictionary defines a process as the "course, steps, or methods toward a  
desired result". Processes are modeled in the workflow system with flowchart-like  
diagrams. A process is a dynamic entity which is defined by a description of the  
25 tasks (activities) which must be performed, the sequence in which the tasks may be  
performed, who can perform the tasks, and the artifacts (documents and forms)  
required to complete the process. All underway processes are listed in the Process  
List.

30 Flexibility can be built into a process by providing process users multiple  
options for a task. When an activity is ready to be performed, it appears in the  
Universal Activity (To-Do) list in the Organizer so that anyone can see its status.  
The Universal Activity List (or more simply, the Activity List) keeps track of all  
activities in all processes and their status. FIG. 10 illustrates the Universal  
Activity List. A purchase order request is a typical business process which the  
workflow system is ideally suited to model.

35 There are several things which a user can do with processes. A user can sort  
and filter the list of processes, view the workflow for a process, view the properties  
for a process, associate a document with a process, and view the history of a process.  
Sorting processes arranges them in a specified order. Filtering processes displays

1 only those processes which satisfy a specified characteristic. To sort processes, click  
the Sort drop-down list and select the desired sort option. To filter processes, click  
the Filter drop-down list and select the desired characteristic. "My ... Processes"  
refers to those processes which the user started. "... Active Processes" refers to those  
processes which contain an active activity.

5 To view a process, the process is selected in the Process List in the Organizer.  
The workflow for the process is displayed in the Target Area, and a thumbnail view  
of the same workflow is displayed in the Overview Area. FIG. 11 shows a workflow  
process in the right frame of a screen display.

10 Once a process is displayed, the process's properties can be viewed. With the  
exception of Attachments, the process properties are derived from the process's  
template. Only attachments may be modified for a process. Attachments are  
described in the next part of this section. The Process menu Properties command  
is selected to view process properties.

15 A document may be associated with a process at any time. A document is any  
computer file. Unlike forms, documents are typically unstructured and do not have  
links with other data repositories. Once a document is associated with a process, it  
is an attachment and is available to all process participants. A viewer of an  
attachment must have the appropriate tools and/or environment set to open the  
20 attachment. Documents may only be associated with running processes, not  
templates. Though attachments are accessed from an activity, they are not tied to  
a specific activity. To dissociate a document from a process, click Remove. This will  
remove the association, not the document itself.

25 Process history includes the date and time the process was started and by  
whom, and the date and time an activity was completed, the activity's internal id,  
the action taken for the activity, and by whom. If an activity was performed  
automatically by the workflow system then "process" is displayed in the Responsible  
column. To display process history, the user selects the process in the Process List  
and selects the Process menu History command.

30 There are several things which a user can do with activities. The user can  
sort and filter the list of activities, view an activity description, open a form or  
attachment, check-in an attachment which was opened for editing purposes, specify  
the application to use to open an attachment, and respond to an activity. Sorting  
activities arranges activities in a specified order. Filtering activities displays only  
35 those activities which satisfy a specified characteristic. To sort activities, the user  
clicks the Sort choice button and selects the desired sort option. To filter activities,  
the user clicks the Filter choice button and selects the desired characteristic.

1        To view activity details, the user selects the activity in the Activity List in the  
Organizer. The activity information shown in the Target Area includes the name  
of the activity, the person who has responsibility for this activity (more than one  
person may be assigned responsibility - in this case, there is a separate activity in  
5        the Activity List for each assignee), the person who initiated the process, and the  
description of the activity.

To open a form:

- 10        1. If the activity's detailed description is not already displayed, display it.  
                2. Click Select Form () and select the form to open.

15        Changes which are made to fields are observable to other process participants when the form is closed.

20        There are several ways to open an attachment. The user must have the application which was used to create the attachment in order to open it. In addition, the application-file extension association must be defined. The user may open an attachment for viewing only from the activity's detailed view by displaying the activity's detailed information if it is not already displayed and clicking Select Attachment () and selecting the attachment to open.

25        The user may open an attachment for viewing or editing from the process's graphical view by: (1) Displaying the process's workflow if it is not already displayed. (2) Selecting the Process menu Properties command. (3) Selecting the Attachments tab. (4) Highlighting the attachment in the Current Attachments list. (5) Clicking View to open the attachment for viewing only. Click Edit to open the attachment to make modifications to it. Only one person may edit an attachment at a time; however, any number of people can view an attachment. If the user opens 30        an attachment for editing, the user must remember to check it in when he is done so that others may edit it if necessary. The user must save attachments to their original name in order for changes to be reflected in the attachment.

35        If the user opens an attachment for editing, no one else will be able to edit the attachment or see the user's changes until the user checks it back in. An attachment is checked-in by: (1) Selecting the Document menu Check in command. (2) Selecting the attachment to check in. The Path field is populated with the location where the attachment will be stored and should not be changed. (3) Clicking Check In. (4) Clicking Close.

1        In order for the workflow system to know what application to use to open an attachment, an application-filtype extension association must be made. The document extension is the characters in a filename following the ". ". Based on the specified association, the workflow system will open all documents with a given extension with the specified application.

5        An association is defined by: (1) Selecting the Document menu Associations command. (2) Entering the type of the document in the Type field (for example, Word). (3) Entering the filename extension for this type of document in the Ext field (for example, doc). If a document type has more than one possible extension, 10 enter the extensions separated by spaces (for example, html). (4) Enter in the Program field, or click Browse and select, the entire path name of the program to use to open documents of this type. (5) Clicking Add. (6) Clicking Close to close the Document Association dialog box. An association is removed by selecting it in the list and clicking Remove.

15      The user may respond to an activity assignment by acting on the activity. This advances the process state to the next activity in the process. Acting on an activity involves: (1) displaying the activity detail information if it is not already displayed; (2) taking the steps necessary to perform the activity. This may include filling out forms, associating an attachment with the process, or modifying an 20 already associated attachment; and (3) clicking the button (or selecting the option) at the bottom of the Target Area which reflects the action to be taken. The next logical activities in the process are activated and appear in the Activity List.

25      The User Profile contains the user's personal preferences. The user can set whether he wants to be notified by e-mail when an activity is assigned to him. In addition, the user can set the default save directory in the (DMS). This is the directory that the (DMS) is opened to whenever the user adds a document to the (DMS). Requesting E-mail notification involves: (1) Selecting the File menu User Profile command, selecting the Notification checkbox, and (3) entering the complete E-mail address in the E-mail field and Clicking OK. Setting up a user's default 30 (DMS) directory involves: (1) Selecting the File menu User Profile command, (2) selecting the Document Management tab, (3) entering or Browsing for the default (DMS) directory, and (4) Clicking OK.

35      Color is used in the Organizer, Overview Area, and Target Area to communicate status and type information. The following colors for activities have the prescribed meanings:

INSERT GRAPHIC 12(blue) - activity has been completed

1      INSERT GRAPHIC 13(aqua) - either the activity is pending or it is a template activity

INSERT GRAPHIC 14(green) - activity is the current one

5      The color shade may be slightly different on different computers.

Special icons are used in the Process List, Template List, and Activity List of the Organizer to communicate useful information. Table 3 shows the special icons. Designing and implementing processes is an infrequent activity which will be done by someone who has a sound understanding of the existing manual process.

10     Typically, the person will have given some thought to how best to redesign the process so that it can be optimized when implemented by the workflow system. This activity may be performed collaboratively by knowledge workers.

15     Templates are reusable process definitions. They contain all the information which a process contains, but they are not active. They are static entities which are associated with processes to define the behavior and properties of the process. A process can be thought of as a running template. As soon as a process is created, it is running and the first activity in the process appears in the Universal Activity List (provided the filter is not set to exclude it). The process's template defines which activities become active next, based on the response to the previous activity. A process/template is defined by 2 key characteristics: (1) activities, and (2) flow control.

20     Activities are the building blocks of a process model. They define the tasks in a process as well as forms associated with the task and the personnel assigned to perform the task. When an activity is in progress, the activity is in an active state and will not be deactivated until a person assigned to the activity responds to it. An activity is used to model a task which requires human action or decision-making. Activities are represented graphically in a workflow by a rectangular node as shown in FIG. 12.

25     There are several different flow operators which control the sequence/timing of activities. Each operator is represented graphically by a distinct symbol. With the exception of arrows, this symbol is referred to as a node. The operators include, but are not limited to those shown in table 4. Other predefined nodes include the Subplan and the Split Activity nodes.

30     In the preferred embodiment, templates are created from scratch by: (1) Being in the Graphical View (i.e. either the Process List or Template List is displayed). (2) Selecting the Template menu New command. (3) Defining the workflow for the template (The Target Area Toolbar is displayed so that the workflow may be defined.). (4) Defining general descriptive attributes for the

1 template. (5) Setting the owner for processes created from this template. (6) Defining the data items (user-defined attributes) available for forms. (7) Creating forms and associating them with activities or the Start node. (8) Defining the activity nodes' characteristics. (9) Defining the OR nodes' characteristics provided  
5 that there are any OR nodes. (10) Defining the AND nodes' characteristics provided that there are any AND nodes. (11) Defining the conditional nodes' characteristics provided that there are any conditional nodes. (12) After creating the template, selecting the Template menu Save command and entering a name and description for the template. Steps 4-11 may be performed in any order as long as step 6 is  
10 done prior to steps 7 and 11.

A template creator may set and modify any template property. However, the template creator may not modify template properties once the template has been used to start a process. In addition, the template creator may not modify a template which is already being edited by someone else. To make changes to an existing  
15 template, the edit mode is entered by selecting the Template menu Edit command, changes are made, and the template is saved. The properties of a process are derived from its template but may not be modified. The following properties apply to processes and templates:

- 20
- Workflow -- sequence of activities in the template/process
  - General attributes -- name, title, and description of template/process
  - Owner -- (applies to templates only) -- the owner of a template; by default, the owner of a process is the owner of the template which the process was created from
- 25
- Data items -- data which can be displayed in forms
  - Activity node attributes -- description and assignment of the activity
  - OR node attributes -- description and behavior of an OR node
  - AND node attributes -- description and behavior of an AND node
  - Conditional node attributes -- description and behavior of a conditional node
- 30
- Forms -- forms which are used to complete an activity

To modify a workflow, the workflow for the template must be displayed. The Target Area Toolbar is used to place nodes and arrows and is shown in FIG. 13. To add a node: (1) Select the Template menu Edit command if the Target Area Toolbar is not seen. (2) Click in the Toolbar, the node which is to be added. (3) Click on a blank area in the Target Area where the node is to be placed. (4) Repeat step 3 for each node to be placed. To add an arrow: (1) Select the Template menu Edit command if the Target Area Node Toolbar is not seen. (2) Click in the Toolbar the

1      arrow operator ( ↓ ). (3) Click on a non-field area of the node which the arrow is  
to originate from and, without releasing the mouse button, drag the arrow's  
endpoint to the destination node. An arrow must connect two nodes. An arrow that  
does not connect two nodes cannot be drawn. (4) Click in the arrow's name field  
5      and give it a unique name which describes the user action which will result in the  
arrow being taken. Only arrows which originate from activity nodes require a  
descriptive name. The other node types do not require a user action. (5) Repeat step  
3 for each arrow to be placed.

10     To move a node or arrow, with that of the buttons in the Node Toolbar  
depressed, the node or arrow is clicked and dragged to the desired location. When  
moving nodes, be sure to click in a non-field area. When dragging nodes, connected  
arrows will automatically be readjusted. You may not drag an arrow such that  
either endpoint is not connected to a node.

15     General attributes of a template are defined by: (1) Displaying the workflow  
for the template. (2) Selecting the Template menu Properties command. (3)  
Entering the Name, Title, and Description of the template on the General tab of the  
displayed Properties dialog box. (4) Clicking OK. Setting the owner of a template  
is accomplished by: (1) Displaying the workflow for the template. (2) Selecting the  
Template menu Properties command. (3) Selecting the Owner tab. (4) Selecting the  
20     Role checkbox, click, selecting the desired role, and clicking OK.

25     Roles are equivalent to groups in NT and Recipient containers in Exchange.  
For details on how to create a group/container, the Directory Service documentation  
should be consulted. The list of available roles are all the groups/containers which  
are defined in the Directory Service. When a role is selected, the members of the  
role are displayed in the right pane.

30     Data items are attributes associated with a process which you wish to track  
by putting on a form. For example, a purchase requisition process might have the  
attribute cost. A process participant can open the form to set a value for cost.

35     To specify the set of data items: (1) Displaying the workflow for the template.  
(2) Selecting the Template menu Properties command. (3) Selecting the User  
Defined Attributes tab. (4) Clicking Add. (5) Modifying the name of the data item.  
(6) Selecting the data type for the data item. (7) Entering an initial default value  
for the data item if the field for this data item is to be automatically filled when  
forms containing this data item are displayed. (8) Repeating steps 4-7 for each data  
item. (9) For the last field modified, pressing the <Enter> key or clicking in another  
field so that the change is accepted. (10) Clicking OK.

Scripts are defined by: (1) Making sure that the workflow for the  
template/process is displayed and being in editing mode. (2) Clicking the

1 Properties button ( ) on any node to display properties of the template. (3)  
Selecting the Scripts tab. (4) In the Init Script field, entering the JavaScript to  
execute when a process is first created from this template. (5) In the Commit Script  
field, entering the JavaScript to execute when the process is completed. (6) Clicking  
5 OK. (7) Selecting the Template menu Save command when the modifications are  
finished. In addition to the standard ECMA JavaScript commands, the workflow  
system provides an additional set of JavaScript commands for retrieving  
information from the Server.

10 Activity node attributes are defined by: (1) Making sure that the workflow  
for the template is displayed. (2) Entering the Assignee (Role) for the activity in the  
top field of the activity node. Alternatively, the Assignee can be set as described in  
step 6 below. The Assignee must be a group defined in the Directory Service. Roles  
are equivalent to groups in NT and Recipient containers in Exchange. Directory  
Service documentation should be consulted for details on how to create a  
15 group/container. (3) Entering the name of the activity in the bottom field of the  
activity node. (4) Clicking the Properties button ( ) on the activity node. (5) On the  
General tab, entering the Name, Title, and Description for the activity. (6) If the  
Assignee for the activity was not set in step 2 above, clicking the Assignee tab,  
selecting the Assignee checkbox, selecting the desired role, and clicking OK. The  
20 list of available roles are all the groups/containers which are defined in the  
Directory Service. When a role is selected, the members of the role are displayed  
in the right pane. (7) On the Script tab, entering a Body Script to execute when the  
activity becomes active and an Epilogue Script to execute when a user responds to  
the activity OR click ... to select scripts stored in the (DMS). (8) Clicking OK.

25 OR node attributes are defined by: (1) Making sure that the workflow for the  
template is displayed. (2) Clicking the Properties button ( ) on the OR node ( ).  
(3) Selecting the Properties tab and specifying a Name and Description for the  
node. (4) Selecting the Script tab and entering the script to be executed when the  
OR node is completed. (5) Clicking OK. AND node attributes are defined by: (1)  
30 Making sure that the workflow for the template is displayed. (2) Clicking the  
Properties button ( ) on the AND node ( ). (3) Selecting the Properties tab and  
specify a Name and Description for the node. (4) Selecting the Script tab and  
entering the script to be executed when the AND node is completed. (5) Clicking  
OK.

35 Conditional node attributes are defined by: (1) Making sure that the  
workflow for the template is displayed. (2) Clicking the Properties button ( ) on  
the conditional node ( ). (3) Selecting the Decisions tab. (4) Selecting the data  
item which will be evaluated. The data item options are those that were specified

1 in the User Defined Attributes page of the Template Properties dialog box. (5) For  
each arrow which originates from the conditional node specifying the value to  
compare the data item to and selecting the relation which must be true in order for  
the arrow to be taken. (6) Selecting the radio button which identifies the default  
5 arrow. (7) This arrow will be taken if none of the expressions are true. (8) The  
order of the expressions in the list can be rearranged by highlighting the expression  
and clicking Up or Down. To execute a script when the conditional node is activated  
or completed, the Script tab is selected and the script is entered in the Prolog field  
or Epilog field, respectively. (9) Clicking OK.

10 Forms are defined and generated using the workflow system. They are  
structured, field-based HTML files whose layout may be modified using any HTML  
Authoring Tool or by modifying the HTML code itself. They serve as an artifact for  
data exchange between the workflow system and structured data repositories.  
Forms are created and associated with activities or the Start node during template  
15 creation. This makes them available to process participants.

A form is created by: (1) Defining the data items for the template if it has not  
been done already. (2) Making sure that the workflow for the template is displayed.  
(3) Clicking the Form button (fig) on the activity node with which the form is to be  
associated. A new form cannot be created from the Start node. Only an existing  
20 form can be associated with the Start node. (4) Clicking Create New. A dialog box  
to specify the contents of the form is displayed. By default, all user-defined data  
items will appear in the form. (5) For each data item, if the user does not want a  
data item to appear on the form, the user deselects the data item's Use in Form  
checkbox. Otherwise, the user specifies the form label for the data item. After the  
25 last label is modified, the user either presses the <Enter> key or clicks in another  
field so that the change is accepted. (6) If the form is to be given a more meaningful  
name (which will be used by the process participant to open the form from the  
Detail View) than the filename, then the user enters that name in the Form Title  
field. If the Form Title field is not filled in, then the form's filename will be used for  
30 the form's name. (7) Specify in the Form Path field the path for the  
FormsRepository and a filename under which to save the form in the Document  
Management System. Alternatively, the tree structure can be browsed for a  
location to place the form. If Exchange is being used for as the Directory Service,  
the form will not be able to saved to the FormsRepository path. In this case, the  
35 form is saved to the top-level folder which is displayed. Before a process participant  
can open the form, an Exchange Client must be used to manually copy the form  
from the Exchange directory to the above-specified FormsRepository path. (8)  
Clicking Generate Form. The form is created such that the fields are in a single

1 column. The appearance of the form can be customized using any HTML Editor and  
clicking OK.

5 A form is associated with an activity by: (1) Making sure that the workflow  
for the template is displayed. (2) Clicking the Form button () on the activity node  
with which to associate a form; however, there is an exception for the Start node.  
For the Start node, the node is selected and the Activity menu Properties command  
is selected. When a new process is started, the form will be immediately opened so  
that the process initiator can fill out the form. (3) Clicking Browse to browse the  
10 Document Management System for the form. (4) Entering in the Path field the  
location of the form. Alternatively, the tree can be traversed to the form location.  
(5) If the form is to be given a more meaningful name (which will be used by the  
process participant to open the form from the Detail View) than the filename, then  
that name is entered in the Title field. (6) Clicking OK to accept the entries and  
closing the Browse dialog box. (7) Clicking OK to accept the new association and  
15 closing the Activity Instance Properties dialog box. To dissociate a form from an  
activity or the Start node, click Remove. This will remove the association, not the  
form itself.

20 A new process is created and started by: (1) Clicking the Template tab in the  
Organizer to display a list of process templates. (2) Selecting the template to be  
used for the new process and clicking New Process () in the Toolbar. (3) If a form  
was associated with the Start node in the process's template, the form will open  
upon which the form can be filled out and submitted. The new process can be seen  
25 by selecting the Process tab and highlighting the new process. The new process has  
the same name as the template, but will not be seen if a filter is set to exclude it.  
The new process is displayed in the Target Area. The current active activities in the  
process are highlighted by greenish-colored nodes and will show up in the Activity  
List (provided that a filter is not set to exclude them) when the Activity tab is  
selected.

30 For those users who frequently participate in a process but do not define  
processes, the workflow system provides a Simple Client. FIG. 14 shows a screen  
display of the web-based Simple client. The Simple Client was designed for users  
who participate in tasks online and in real-time. The Simple Client is for real-time,  
online task/activity participation on a frequent basis. The E-mail client and the  
instantiation client are components of the Simple client. The Simple Client  
35 combines the features available in the E-mail Client and the Instantiation Client.  
The Simple Client allows users to participate in a process by enabling users to  
stantiate (start) a process, and view, edit, add and attach documents and fill-in  
forms, as users address their assigned tasks from a worklist. The Simple Client

1 provides a simple way to access workitems and start new processes without having  
to bother with superfluous information.

5 The simple client is basically two elements, i.e., two frames. FIG. 15 shows  
the Simple Client view as two elemental frames. A frame is a place where an html  
page can be displayed. The left frame is the worklist, the basic activity that is  
assigned to the user. The right frame contains the E-mail client. Thus, the simple  
client is comprised of a detailed view (right frame) along with a worklist (left frame)  
which refers to activities assigned to the user and still not complete. The Simple  
Client includes the following elements of the full client (which was shown in FIG.  
10 6): the Application Logic (AppLogic) 66, the WorkFlow (WF) Manager Model 68, the  
Form Model 70, the Workitem Model 71, the Process Model 72, and the Template  
Model 74. The visual applet is the worklist.

15 When a user double-clicks the URL, the workflow system comes back with  
a request for a login for a password. When an icon is selected from the worklist, it  
invokes a web page into the frame of the detailed view. The method of selecting the  
URL for the E-mail client uses the fact that the URL was hard-coded inside the e-  
mail and when a user double-clicks on it, the web page is launched. In the case of  
the simple client, when a user selects an element from the activity list, the effect is  
that a detailed view web page that contains specific items for a particular activity  
20 is launched.

To invoke the Simple Client, the URL for the Simple Client is entered in the  
web browser, for example, "http://<i-Flow Server host name>/<http document  
directory, which is twf30 if default accepted >/twfsimple\_en.html?uid=<username>%server=<Server Name>."

25 The Simple Client-interface uses the same interface as the E-mail Client with  
two additions: (1) the workitem list, and (2) the New Process button. A workitem  
that is to be reviewed or worked on is selected from the workitem list. The  
workitem information is presented in precisely the same way as for the E-mail  
Client. All features available in the E-mail Client are available in the Simple  
30 Client. Clicking the New Process button will invoke the Instantiation Client to  
start a new process.

35 The E-mail client is built from both HTML and JavaScript. In FIG. 6, the  
Applogic, the WFManager Model, the Workitem Model, the Form Model, the Process  
Model, and the Template Model are part of the simple client. The visual applet is  
the worklist.

The workflow system is ideal for internal administrative processes such as  
purchase requisitions, expense reporting, call tracking, or web commerce. Process  
templates can easily be created by non-technical personnel and changed on-the-fly,

1 in an ad hoc fashion, enabling the automated workflow process to evolve along with  
the actual process.

5       Administrative tasks are often completed on more of an occasional basis by  
a wide variety of users. These users include those that have a remote, low-  
bandwidth connection, perhaps through a modem (referred to as a "casual" user),  
and those who work primarily through e-mail (non-tethered user). To accommodate  
these types of users, the workflow system provides two easy-to-use Web-based  
clients: the Instantiation Client and the E-mail Client.

10      Once a process template is created (using the Developer Client), casual users  
can participate through either of the two browser based clients: an Instantiation  
Client or an E-mail Client. Both the Instantiation Client and the E-mail Client are  
primarily HTML clients for remote users. The Instantiation Client provides e-mail  
only users with a method to instantiate (initiate) a new process from predefined  
templates through an established URL address. The E-mail Client enables non-  
15     tethered users to receive their work items, and related documents and allows them  
to complete their tasks all through a Web client via e-mail (through SMTP or  
wireless SMS). Thus, remote users can also participate in a process and viewing  
and editing of attached documents and forms. Participation is by anonymous and  
external users.

20      With these clients, tasks can be assigned and routed directly to participants,  
eliminating the need for participants to check work assignments through an online  
worklist. Moreover, with the workflow system's intuitive browser-based clients,  
tasks can be completed by occasional participants in a more efficient manner since  
the interface is simple and easy to learn.

25      The Instantiation Client provides a simple way to quickly start new processes  
(for example, submit a vacation request) without having to bother with superfluous  
information. The instantiation client consists of a list of templates. On the right-  
hand side is a detailed view for a template, not an activity. The detailed view helps  
to set initial conditions for a new created process. Attachments which are added at  
30     the start of a process may be initialized. Forms may have to be filled. There is one  
button to start or cancel. Once the user says it is O.K. to start a process, a new  
instance of the process is created with the attachments that were added to it and  
the process attributes are initialized according to the values input into the forms.  
To invoke the Instantiation Client, the URL for the Instantiation Client is entered  
35     in the web browser, for example, "[http://<i-Flow Server host name>/<http document directory, which is twf30 if default accepted >/twf instantiation\\_en.html?uid=<username>%server=<Server Name>](http://<i-Flow Server host name>/<http document directory, which is twf30 if default accepted >/twf instantiation_en.html?uid=<username>%server=<Server Name>)".

1        The only action that a user may do upon logging into the Instantiation Client  
is start new processes. This requires that the template for the process already exist.  
If there are no buttons in the Instantiation Client, then no templates exist. A new  
process can be started by: (1) Clicking the button for the template to instantiate.  
5        The name and the description of the template will appear in the right pane. (2)  
Clicking OK to start a process with the specified template. If a form was associated  
with the Start node in the process's template, the form will open. (3) Filling out the  
form and submitting it. The process is started and can be viewed using the  
Developer Client. The active activities can be seen in both the Full and Simple  
10      Client. If the assignee for active activities in the process has elected to receive  
e-mail notification, s/he can access the activity via the E-mail Client.

15      The E-mail Client is basically a web page which has an address which it can  
be launched from. The E-mail Client is built from both HTML and JavaScript. The  
E-mail Client is the smallest of the clients and it provides a simple way to quickly  
respond to task assignments without having to bother with superfluous information.  
The E-mail Client provides a workitem view of tasks that are assigned to the user.  
It has predefined items like description, date, and time etc. The E-mail Client has  
items specific to that task, like attachments and forms. The E-mail Client has the  
final decision that has to be made from a set of choices after completion of a task.  
20      In order to access the E-mail Client, the user must receive an e-mail notification  
from the workflow system. In order to receive notifications, the user must have  
elected this option in the Developer Client when setting up the user profile. The  
user will then only receive an e-mail when a task has been assigned to the user.  
Within the body of the e-mail message, there will be an HTTP link which when  
25      clicked invokes the E-mail Client. The E-mail client is surrounded by an HTML  
page. The E-mail client is invoked by a URL with a list of parameters (the null list  
is one option), e.g., "http://iflow/TW30/thinclient" is a URL to invoke the E-mail  
client without parameters. To invoke the E-mail client with parameters, the  
parameters ?PID=\_&AID=\_ would be added to the URL command line (PID  
30      representing the process identification and AID representing the activity  
identification. This is how to pass parameters to the E-mail client and bring up the  
E-mail client page. This http could be written in an e-mail message.

35      The E-mail client is real-time in the sense that it is connected directly to the  
server at the time an activity is being completed. The E-Mail Client does not use  
the store-and-forward paradigm to process a completed activity. The E-Mail Client  
delivers the URL for the user to get access to a particular activity, but when the  
activity is brought up, it is online connected to the server. Online means that the  
interactivity between the e-mail client and the server is done via CORBA in real-

1 time. It is not using the store-and-forward paradigm. This is in contrast to a  
system where when you hit the completion button on an e-mail client and it is  
offline, then the information might be taken and put into an e-mail message and  
sent to the server and eventually the server gets it. In the workflow system, when  
5 a user hits O.K., it goes to the server in real-time.

Though the E-mail client interface appears different than the Developer Client, the functionality behind it is essentially a subset of the Developer Client's. With the E-mail Client, upon logging in the user can: respond to an activity, associate a document with a process, open a form or attachment associated with the  
10 activity, and specify the application to use to open an attachment. FIG. 16 illustrates the E-mail client interface.

An activity is responded to by modifying the necessary forms and attachments and clicking the button which represents the action to take for the activity. There is a separate button for each form associated with an activity.  
15 Clicking on a button opens an activities' corresponding form. There is a separate button for each attachment associated with the activity. New attachments can be added to an activity. Before an attachment can be opened, the application to use to open it must be specified (if it has not already been done with the workflow system Developer Client).

20 An attachment is opened by clicking on the button corresponding to the attachment. The attachment may be opened for viewing only or for modifying provided no one else has opened it for modifying. If the attachment does not open, it may be because the application to open it has not been specified. An application can be specified to open an attachment by: (1) Clicking Associations. (2) Entering  
25 the type of the document in the Type field (for example, Word). (3) Entering the filename extension for this type of document in the Ext field (for example, doc). If a document type has more than one possible extension, enter the extensions separated by spaces (for example, html). (4) Entering in the Program field, or clicking Browse and select, the entire path name of the program to use to open documents of this type. (5) Clicking Add. (6) Clicking Close to close the Document Association dialog box. An association is removed by selecting it in the list and clicking Remove.

30 The workflow system Software Development Kit (SDK) provides the interface for the model classes so the user can utilize them. The SDK also provides the specification of each of the UI components to enable the developer to integrate them with whatever application the developer may have. In addition to the UI components and model classes, the SDK provides the interface definition of the script adapter, the DD framework, Directory adapter, and the (DMS) adapter. The

1       SDK provides the developer implementations of the Script adapter, DD framework, Directory adapter, and (DMS) adapter. The (DMS) adapter has three implementations: Native NT, Exchange, and JDK. The Directory adapter also has three implementations: Native NT, Exchange, and LDAP.

5       Part of the SDK is the extensions that have been added to the JavaScript interpreter that allows users to write script commands that accesses the server. The script commands are predefined for the user so that they can access the process context.

10      The workflow system provides the developer with a framework for enabling the developer to add his own command extensions. The developer can develop a Java class that accesses any data resource or application outside the workflow system and the developer can access that Java class from within the scripting environment. The interface to the script allows the developer to incorporate different kinds of script adapters and different kinds of scripting languages.

15      The workflow system SDK is independent of the adapters used, thus allowing the Value Added Retailers (VARS) to use the SDK to develop clients independent of the adapters. The SDK enables developers to customize and extend workflow system functionality as well as to integrate the workflow system with third party products and tools. The SDK is JavaBean based. The SDK includes Java Bean and Java Script components, and server adapter APIs. The Java Bean and Java Script components serve as building blocks available from a Visual Java Script pallet. All workflow system tools are assembled out of reusable beans as well as Java Script components. The components can be used as needed, enabling high client extensibility and customization. "Adapter Object" APIs are available on the server side. Server adapter APIs allow third parties to connect the workflow engine to the desired (DMS), Directory service, and Script interpreter. In the preferred embodiment, the APIs support the OMG's Workflow Management Facility standard. Server-side scripting extends functionality to additional components/applications.

30      One aspect of the SDK is that it implements model-view separation. The models handle multiple simultaneous presentations. When a user changes something in one of the presentations, it changes the model, which then notifies the rest of the presentations. The model classes, referred to as JavaBeans, lend themselves to scripting. Having them as JavaBeans, allows use them to be used as components which is another aspect of the SDK. Another aspect of the SDK is that it hides, conceals, CORBA idiosyncrasies. The benefit is that the workflow system shields the people who are using the workflow system models from idiosyncrasies regarding the transport layer between the client and the server.

1        In addition to the SDK, the workflow system provides different clients. The developer client is mandatory because without the developer client, the developer would not be able to design a process. Although the developer client is not part of the SDK, the SDK is of little use without the developer client because the developer  
5        client provides the input for a process definition. The significance of the developer client is that it lets the developer input the process definition. As part of the inputting of the process definition, the developer client helps generate the forms.

10      The developer client is built using building block components. Inside the developer client is the process designer tool which helps developers generate the forms and also lets developers to input the process definition to the server. The SDK components are used to construct the developer client as well as the other clients. The developer client, in contrast to the other clients, provides the input for the process definition to the engine and helps generate the forms. Applications can be written independent of any process design, but if a meaningful system is desired at the end of the development process, then the developer can input process  
15      definitions via the developer client.

20      The workflow system also has the administration client which is constructed from the same components that the developer client is constructed. Just as the developer client is required, the workflow system requires the administration client to be fully functional. This is in contrast to the simple and instantiation client which the workflow system does not necessarily need for the system to be fully  
25      functional.

25      In addition to providing the interfaces and implementations, the SDK provides the skeletons. In the preferred embodiment, the skeletons are provided in C++ as well as Java. Thus, developers do not need to have CORBA development tools in order to develop their own adapters.

30      FIG. 17 shows the interaction between the application 14, the elements of the software development kit 600, and the (DMS) 320 and DS objects 360. The SDK is comprised of the WF Manager Proxy 68, the Doc Repository 300, the (DMS)  
35      Implementation 310, the FTP utilities 350, and the Directory Service 24.

35      The workflow system has building block components which enables combining the building blocks to form any kind of client. Consequently, clients have flexibly replaceable components, thereby enabling the developer in creating workflow client applications. The workflow system client components lend themselves to be integrated and customized using a builder tool such as Visual Java Script.

1 Client model components are non-interactive Java beans. The purpose of the  
client model component is to encapsulate the state of client object as well as their  
interactions with the server via IIOP.

5 There are multiple client user interfaces for different types of users. The  
purpose of the client UI components is to provide the different components of the  
workflow system's user interface such as a worklist list user interface. These  
components will not be maintaining client objects or carry out interaction with the  
workflow system server.

10 The API will be provided as Java packages that contain the model beans that  
cover all interfaces to the workflow system server. This API will allow the developer  
to access and manipulate all aspects of the workflow system including its  
administration.

15 The open adapter APIs allow third parties to develop adapters to connect the  
workflow system engine to the desired (DMS) or DS. DS adapters are already  
provided for the NT User Registry, MS Exchange, and LDAP. (DMS) adapters are  
provided for the NT File System, MS Exchange, and JDK. The open adapter APIs  
are provided so that adapters which work with other systems can be developed. The  
CORBA IDL Specifications for each adapter interface is provided with the workflow  
software package as well as example code.

20 The Adapter API utilizes wide strings to represent unique characters in order  
to accommodate characters in different languages. 8-bit characters are sufficient  
to represent Latin and Arabic characters, but characters of other languages require  
more bits to represent them. Chinese characters require at least a double byte.

25 The Client API is provided as Java packages which contains model classes that  
cover all interfaces to the workflow system server. The Client API allows a  
developer to access and manipulate all aspects of the workflow system including its  
administration. Client bean API's can be used by the developer to build his own  
applications/tasks. The API enables developers to customize and extend workflow  
system functionality as well as to integrate the workflow system with third party  
30 products and tools. When Client bean APIs are used to build an application, the  
crux of the application is the workflow manager package. The workflow manager  
package contains bean to establish a connection to the Server and retrieve  
references to server-side objects. Client bean APIs can be used to perform such  
common tasks as: logging in to the workflow server; retrieving a work item,  
process, or process definition (templates); managing the Document Management  
35 System; and determining role membership. All workflow system tools may be  
developed from these classes as well as JavaScript components.

1        All kinds of workflow applications can be developed from the model classes.  
The user can use the classes and develop a Java application or the user can use the  
scripting that is available on the browser on the classes or the user may do a  
combination of the above, i.e., using the available browser scripting on the classes  
5        and developing a Java application.

Table 5 contains summaries of the packages in the workflow system Client. These packages contain classes and interfaces which have been made available to the developer. The completely qualified name for each package is COM.fujitsu.fsc.TWFlow.Client.<package name>.

10      The Process change control facility applies changes to all processes executing the same plan and provides a meaningful notification to involved users. The process change control facility provides users the ability to: suspend all processes executing a specified plan, change the plan, and apply changes (transmute) to all processes executing the modified plan while salvaging the data entered by the user.

15      As an alternative to the current organizer, an embodiment of the invention may provide a folder hierarchy which is a tree of folders. The tree of folders include personal folder sub-trees and shared folder sub-trees. The personal folder sub-tree contains: a folder for assigned tasks (derived/computed), owned processes (derived/computed), and Others. The folder for assigned tasks can be active or completed. The owned processes can be active or completed. Others allows the user to create a personal folder hierarchy where short cuts to processes, plans, and activities can be created. The Shared folder sub-tree which is managed by the workflow system administrator contains published plans. It also provides a subtree for the (DMS) and provides a sub-tree for servers.

20      A derived/computed folder has contents which are computed at run time using a filter (similar to a relational database query). Upon request of the folder by a user, a filter (query) is evaluated and the derived/computed results are sent to the user. After the initial request for a specified folder, any changes in the workflow system that meets the selection criteria specified by the filter, are proactively propagated to the requestor.

25      In another embodiment of the invention, processes may be displayed at a single-level and the user can sort and filter them. In yet another embodiment of the invention, the folder organization is associative and multidimensional and filters can be applied to the folders. The organizer is shown in the upper left-hand corner of FIG. 11. In addition to the activity, process, template tabs, the user has two controls that control how the lists are displayed i.e. filter and sort. The paradigm used is based on associative lists. A user specifies a filter and sorting order, much like Structured Query Language (SQL). In the preferred embodiment, the

1 workflow system has the following user-provided filters for processes: MYactive, MyInactive, ALLactive, ALLinactive, and Everything. MYactive provides a list of all active user processes. My Inactive provides a list of all inactive user processes. ALLactive provides a list of all active processes whether or not they are the user's processes. ALLinactive provides a list of all inactive processes whether or not they are the user's processes. Everything provides a list of all processes, active or inactive.

5 In the preferred embodiment of the invention, the workflow system allows users to ask for the lists with proactive notification or without proactive notification meaning if a new process gets created that the user wants to know about, then with the proactive notification, the list gets updated, but without proactive notification, the list does not get updated.

10 The fill form fields are predefined set of fields that are generated by a process designer and are part of the user profile such as E-mail, address, title, etc.

15 The workflow system provides role resolution and mail notification for anonymous users (users who do not have an account in the directory) which allows the participation of users who can only be identified and notified of activity requests via E-mail. In this case the notion of role membership should be augmented to include E-mail address as a user identification.

20

TABLE 1

Menu	Menu Command	Description
Flow	Login	Use to connect to a workflow system Server
	Logout	Use to disconnect from the workflow system Server
	User Profile	Use to display the dialog box for setting your personal user settings
View	Show Graphical View	Use to display the workflow which a selected activity belongs to
	Show Detailed View	Use to display the details of the current activity in a process
	Widen Canvas	Use to widen the visible Target Area when the Target Area displays a workflow

Menu	Menu Command	Description
	Heighten Canvas	Use to heighten the visible Target Area when the Target Area displays a workflow
Process	New	Use to create a new process based on the selected template
	Properties	Use to view the properties (General, Initiator, User Defined Attributes, and Attachments) of a selected process
	History	Displays the history for a process
Activity	Properties	Use to view the properties (General, Assignee, User Defined Attributes, Script, and Forms) of a selected activity
Template	New	Use to create a new template
	Edit	Use to edit an existing template
	Save	Use to save a template
	Save As	Use to save an existing template under a different name
	Properties	Use to view the properties (General, Owner, User defined Attributes, and Script) of a selected template
Document	Associations	Use to specify which application to use to open attachments with a given filename extension
	Check-in	Use to check-in attachments which have been opened for editing so that others may see the changes and edit them as necessary
Help	Help Topics	Use to display online help

1 TABLE 2

	Use to create a new process
	Use to toggle to Graphical View
	Use to toggle to Detailed View
	Use to display your User Profile

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TABLE 3

	marks an active process that the user started
	marks a completed process that the user started
	marks an active process
	marks a completed process
	denotes a template

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TABLE 4

Operator	Symbol	Description	Usage Illustration
Start		Identifies the start of the process. Every process must have one and only one Start node.	
Arrow		Defines the flow of events. When an arrow originates from an activity node, it represents a choice which the activity assignee can make in response to the activity.	See the other usage illustrations.  NOTE: All arrows have a name field, but this field has been omitted from the usage illustrations.
Condition		When this node is reached, the process will not continue until the condition specified by one of the outgoing arrows of the node is satisfied. Use this type of node to do automated decision-making for you.	
OR		When the first activity preceding and connected to this type of node is completed, all ensuing activities connected to the node are activated simultaneously. Use this type of a node when you want a response to an activity to result in more than one new activity.	

Operator	Symbol	Description	Usage Illustration
AND		When this node is reached, the process will not continue until all activities which lead to this node have been completed. Use this node to synchronize activities.	
Exit		Identifies the end of the process. Every process must have at least one Exit node.	
Legend: ■ (green) = current activity, ■ (blue) = completed activity, ■ (aqua) = pending activity			

TABLE 5

Package Name	Description
appinterfaces	Contains set of interfaces for updating the dat in the 3 primary UI components and for beginning an editing session
(DMS)	Contains interfaces and classes for managing the Document Management System ((DMS)) and the Directory Service (DS). This includes retrieving/updating information on folders and attachments in the (DMS) or on roles and groups in the DS and checking-in/out objects from the (DMS).
event	Contains interfaces and classes to listen for when the user creates a new item or selects a different item for which to obtain information
form	Contains the applet class used to set and get information from a form.
Organizer2	Contains the interfaces and classes for listening for events in the Organizer UI component and updating the Organizer appropriately.
plan	Contains the interfaces and classes for updating all the different aspects of a plan or process model. This includes nodes and arrows, forms and attachments, workitems, and permission levels.
planview	Contains the classes used to implement the interfaces in the appinterfaces package.
WFManager	Contains the classes used to obtain an initial connection to the Server, retrieve workitem, process, and template lists based on filter criteria, and retrieve processes and templates.

While there have been described herein what are considered to be preferred and exemplary embodiments of the present invention, other modifications of the invention shall be apparent to those skilled in the art from the teachings herein, and it is, therefore desired to be secured in the appended claims all such modifications and extensions as fall within the true spirit and scope of the

1 invention. The invention is to be construed as including all embodiments thereof  
that fall within the scope of the appended claims and the invention should only be  
limited by the appended claims below. In addition, one skilled in the art will  
5 readily appreciate that other applications may be substituted for those set forth  
herein without departing from the spirit and scope of the present invention.

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## 1 CLAIMS

What is claimed is:

5 1. A programmed computer system for generating and controlling workflow processes, the system comprising:

a workflow engine executed by a first computer based system for the definition and enactment of workflow processes;

10 a client executed by a second computer based system coupled to said workflow engine;

one or more services; and

15 an adapter for providing a communication mechanism between the workflow engine and said one or more services, the adapter having a fixed interface that is an object oriented, platform independent and language independent interface, enabling the workflow engine to communicate to a common interface, thereby making the workflow engine independent of the service and enabling a service to be changed without any code changes to the workflow engine.

20 2. The programmed computer system of claim 1 wherein said client executes in a web browser.

3. The programmed computer system of claim 1 wherein said workflow engine is implemented using the JAVA programming language.

25 4. The programmed computer system of claim 1 wherein one of one or more services is a database management system and the adapter provides a communication mechanism between the workflow engine and the database management system.

30 5. The programmed computer system of claim 1 wherein one of one or more services is a document management system and the adapter provides a communication mechanism between the workflow engine and the document management system.

35 6. The programmed computer system of claim 5 wherein the adapter functions include:

creating a document management service object for a specified user; and destroying a document management service object.

1        7. The programmed computer system of claim 6 wherein the adapter  
functions further includes:

5              returning a list of documents/directories for a specified path;  
                  checking out a specified file for read or write; and  
                  checking in the specified file.

10        8. The programmed computer system of claim 6 wherein the adapter  
functions further includes:

15              returning a path of an attachment directory where files are checked out  
for read mode; and

20              returning a path of an attachment directory where files are checked out  
for write mode.

25        9. The programmed computer system of claim 1 wherein one of one or  
more services is a directory service and the adapter provides a communication  
mechanism between the workflow engine and the directory service.

30        10. The programmed computer system of claim 9 wherein the adapter  
functions include:

35              creating a directory session object for a specified user; and  
                  destroying a directory session object.

40        11. The programmed computer system of claim 10 wherein the adapter  
functions further includes:

45              returning a list of users for a specified group;  
                  returning the list of users in a specified group as one long string; and  
                  returning a list of groups.

50        12. The programmed computer system of claim 10 wherein the adapter  
functions further includes:

55              returning all the properties for a specified user;  
                  creating properties for the specified user;  
                  updating the properties for the specified user; and  
                  deleting the properties of the specified user.

60        13. The programmed computer system of claim 9 wherein a second service  
is a document management system and a second adapter provides a communication  
mechanism between the workflow engine and the document management system.

1        14. The programmed computer system of claim 13 further comprising a Document Directory adapter for obtaining a document management system object from the document management system and for obtaining a directory object from the directory services, and providing said objects to the workflow engine.

5        15. The programmed computer system of claim 5 wherein the adapter returns all drives available on a machine where the document management system is running.

10      16. The programmed computer system of claim 1 wherein one of one or more services is a script interpreter and the adapter provides a communication mechanism between the workflow engine and the script interpreter.

15      17. The programmed computer system of claim 1 wherein one of one or more services is an electronic mail system and the adapter provides a communication mechanism between the workflow engine and the electronic mail system.

20      18. The programmed computer system of claim 1 wherein one of one or more services is a naming service that allows a client to refer to an object being executed by the first computer based system by referring to a naming service name for the object without the client having to refer to a pointer to the object as it exists on the first computer based system, thereby allowing a client to refer to an object even though an object may be moved to a different location within the first computer based system.

25      19. The programmed computer system of claim 18 wherein the first computer based system comprises a plurality of connected computers.

30      20. The programmed computer system of claim 1 wherein an interface between the workflow engine and said client is governed by a Common Object Request Broker Architecture interface.

35      21. The programmed computer system of claim 1 wherein an interface between the workflow engine and said client is governed by the Internet Inter-ORB Protocol.

1        22. The programmed computer system of claim 1 wherein an interface  
between the workflow engine and said adapters is governed by a Common Object  
Request Broker Architecture interface.

5        23. The programmed computer system of claim 1 wherein an interface  
between the workflow engine and said adapters is governed by the Internet Inter-  
ORB Protocol.

10      24. The programmed computer system of claim 4 wherein said database  
adapter uses the Java DataBase Connectivity standard to provides the  
communication mechanism between said workflow engine and said database  
management system.

15      25. The programmed computer system of claim 1 further comprising:  
a web server for enabling said client to communicate with said workflow  
engine and said adapters.

20      26. A workflow client comprising:  
a model layer encapsulating the state of client objects; and  
a user interface layer for client presentation and processing user input.

25      27. The workflow client of claim 26 wherein said model layer comprises:  
application logic for event dispatching among all components of the  
client;  
a workflow manager model for login, logout, and retrieving lists from  
the workflow engine;  
a process model for processing process instances;  
a form model for the data exchange between forms and said process  
instances;  
30      a workitem model for managing and updating workitems; and  
a template model for processing plans.

35      28. The workflow client of claim 26 wherein said user interface layer  
comprises:  
an organizer that presents lists of processes, process definitions, and  
workitems;  
an overview that presents a miniature thumbnail overview, which is a  
graphical representation of a selected process or process definition; and

1            a process/template viewer/editor enabling the viewing/editing of  
processes and process definitions;  
5            an activity response bar enabling access to attachments and forms;  
          a activity detailed view providing a detailed view of a process;  
          a response bar enabling a user to specify the completion of an activity  
with a particular choice; and  
          a form view presenting the content of a user-defined form.

10          29. The workflow client of claim 26 wherein said user interface layer  
includes executing:  
          a menu bar display;  
          a tool bar display;  
          a display of a list of processes, process definitions, and workitems;  
          a display of a graphical representation of a selected process and process  
15          definition;  
          a display for viewing and editing said process and said process  
definition;  
          a display for accessing attachments and forms;  
          a display enabling the user to specify the completion of an activity with  
20          a particular choice; and  
          a display of the content of a user-defined form.

25          30. The workflow client of claim 29 wherein said displays are integrated  
using Java Script and HyperText Markup Language.

30          31. A form builder for a workflow system comprising:  
          means for a user to specify process attributes to placed on a form; and  
          means for generating said form in HyperText Markup Language.

35          32. The form builder of claim 31 wherein said means for generating said  
form is automatic.

35          33. The form builder of claim 32 wherein said form is automatically  
connected to a process.

35          34. The form builder of claim 33 wherein said form is automatically  
connected to an activity inside said process.

1        35. A client for developing workflow process models, which generates a screen layout comprising:

an area for displaying a list of templates, processes, or activities;

an area for displaying a graphical representation of a selected item from

5        said list; and

an area for displaying and modifying information from a selected item from said list.

10      36. A client screen layout of claim 29 wherein said menu bar is for performing application-wide functions.

15      37. A client activated via a Uniform Resource Locator (URL) that is embedded within an E-mail message, the client generating a screen layout comprising:

an attachment list specific to said tasks;

a form list specific to said tasks; and

a detail view of an assigned task.

20      38. A client screen for generating a screen layout comprising:

a worklist of tasks assigned to the user;

an attachment list specific to said tasks;

a form list specific to said tasks; and

a detail view of an assigned task.

25      39. A client for the instantiation of processes, which generates a screen layout comprising:

a template list;

a detail view of a template; and

an attachment list associated with said template; and

30      a forms list associated with said template.

40. A method for developing a workflow using a client for operation on a computer, the method comprising:

35      creating a plan, wherein creating the plan includes defining an activity of a process, defining a participant of the process, and defining attributes of the process;

storing the plan as a process template;

initiating an active process from the process template; and

1                   editing the active proces in real-time.

5                  41. The method of claim 40 further comprising viewing an attachment wherein the attachment can only be edited when the user checks out the attachment and the edited attachment can only be seen when the edited attachment is checked back in by the user.

10                 42. The method of claim 41 further comprising circulation of a master copy of the attachment wherein there are many reads, but only one write.

15                 43. The client of claim 40 whereby the activity, participant, and attributes of the process are defined with point and click functionality.

20                 44. The method of claim 40 wherein the attributes of the process are defined within forms, whereby the forms may be customized using third-party tools.

25                 45. The method of claim 40 further comprising creating an activities list, a process templates list, and an active processes list.

30                 46. The method of claim 45 further comprising sorting any of the lists according to a criterion specified by a user.

35                 47. The method of claim 45 further comprising filtering any of the lists according to a criterion specified by a user.

40                 48. The method of claim 40 further comprising displaying the activity when the activity is ready to be performed by the workflow engine.

45                 49. The method of claim 40 futher comprising associating a document with the process.

50                 50. The method of claim 49 further comprising dissociating the document from the process.

55                 51. The method of claim 40 further comprising recording and displaying the history of an active process.

1        52. A method for a user to address an assigned task using a client for  
operation on a computer, the method comprising:  
            accessing workitems of a worklist; and  
            instantiating a process.

5        53. The method of claim 52 further comprising attaching, viewing and  
editing a document as users address their assigned tasks from a worklist.

10       54. The method of claim 52 further comprising viewing and editing a form  
as users address their assigned tasks from a worklist.

15       55. A method for interacting with a workflow engine through an E-mail  
connection using a client, the method comprising:

            instantiating a process from a predefined template through a Uniform  
Resource Locator (URL);  
            enabling non-tethered users to receive their work items and related  
documents;  
            and allowing users to complete their tasks via E-mail.

20       56. A method for instantiation of a process using a client, the method  
comprising:

            initializing a process;  
            filling values into forms;  
            initializing attachments; and  
            creating a new instance of a process with attributes initialized to values  
input into the forms.

25       57. A programmed computer system having a plurality of clients, including:  
            a client for developing workflow process models;  
            a client activated via a URL that is embedded within an E-mail  
message;  
            a client for interacting with a workflow engine through an E-mail  
connection;  
            a client for instantiation of a process; and  
            a client for a user to address an assigned task.

30       58. The programmed computer system of claim 14 wherein the Document  
Directory adapter authenticates users.

1        59. The programmed computer system of claim 58 wherein the Document  
Directory adapter performs role resolution.

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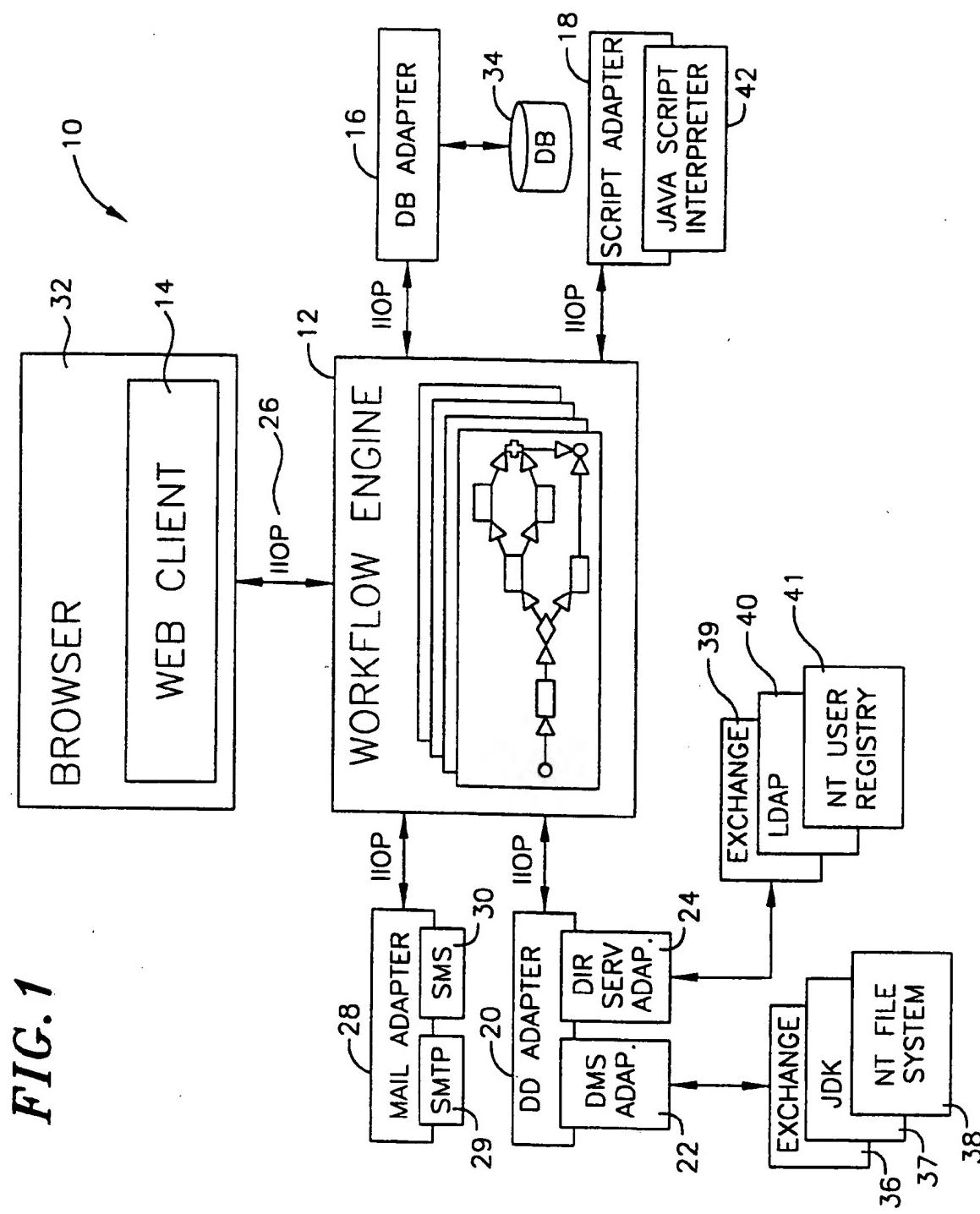
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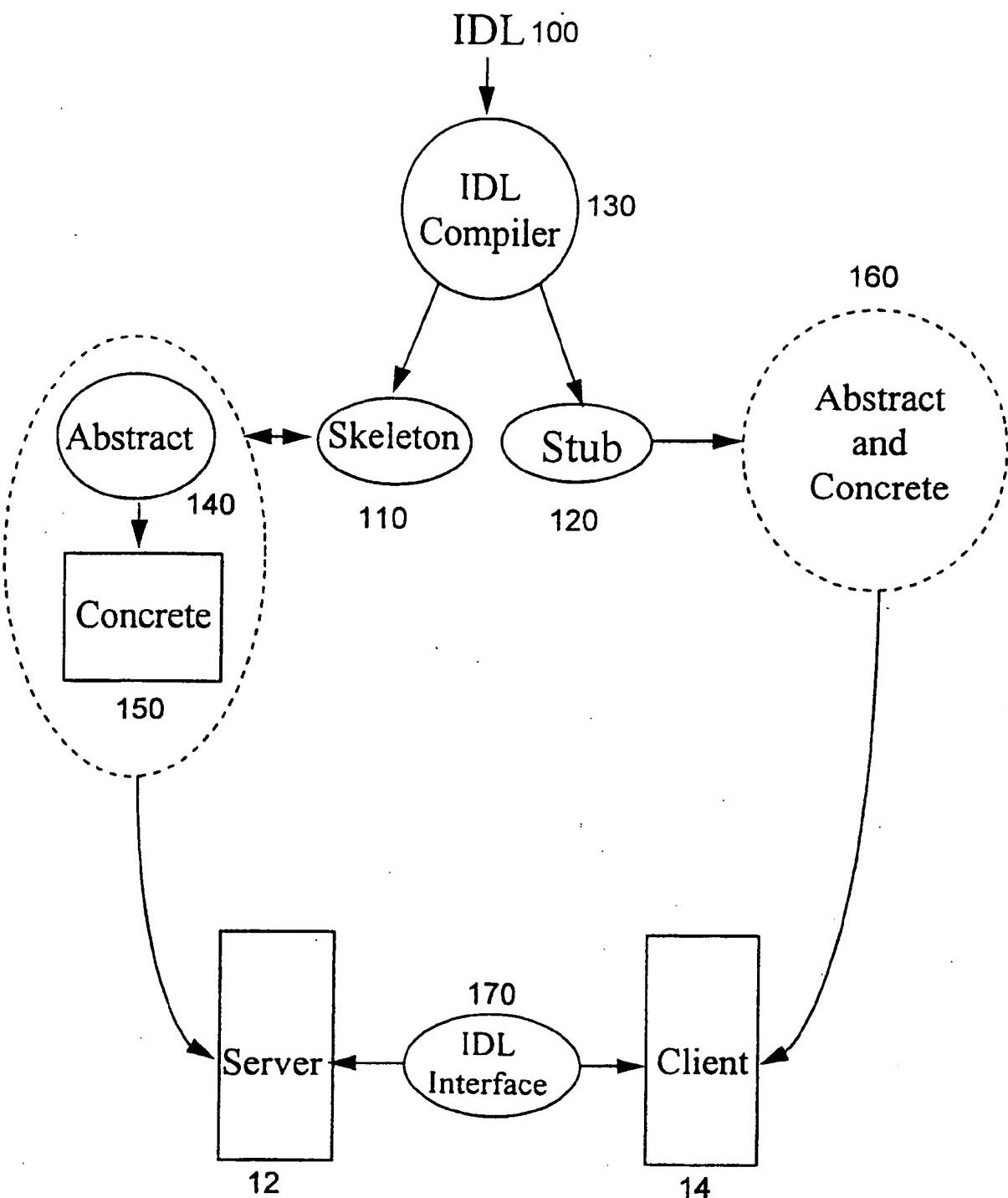


FIG. 2

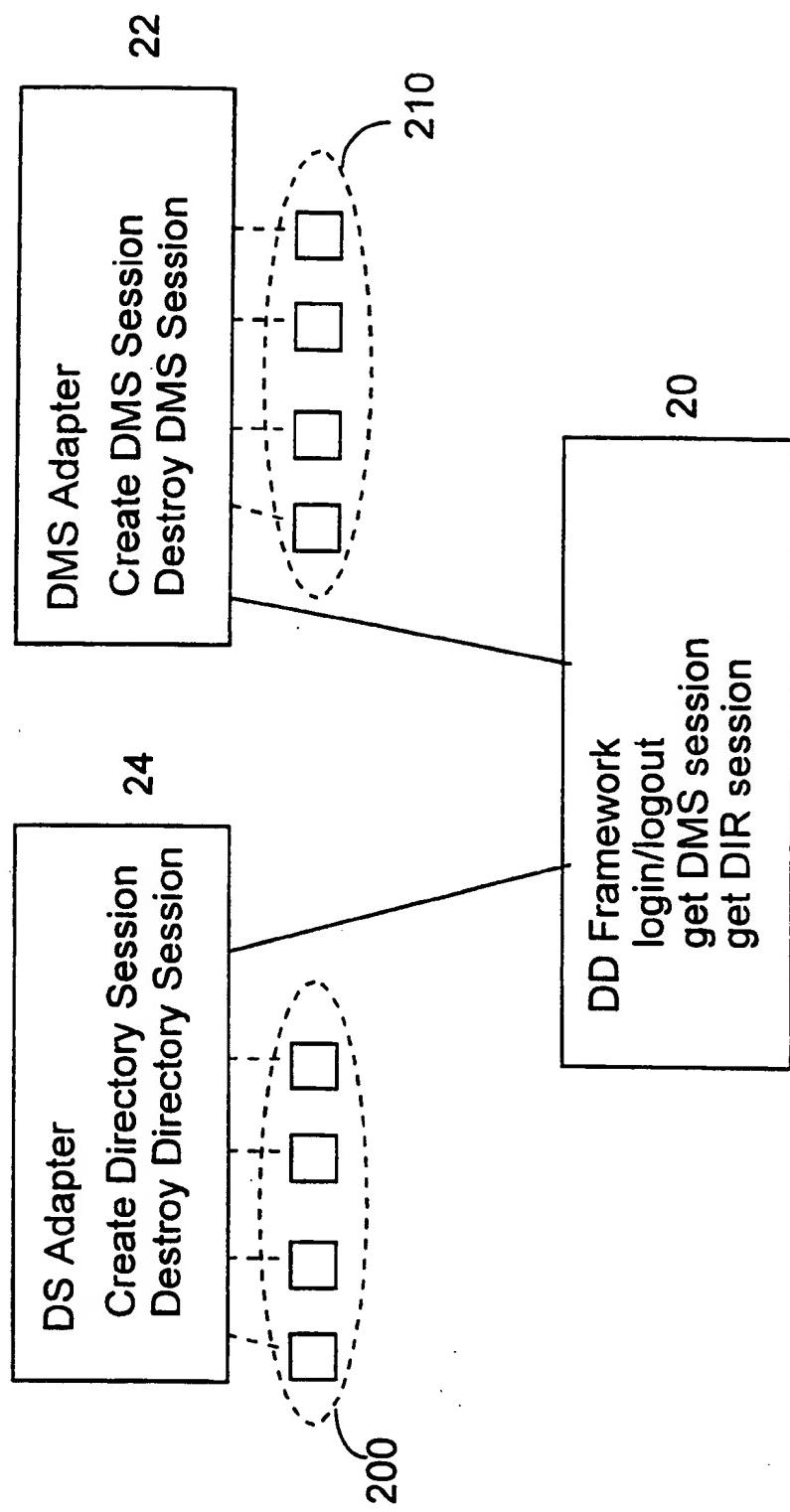


FIG. 3

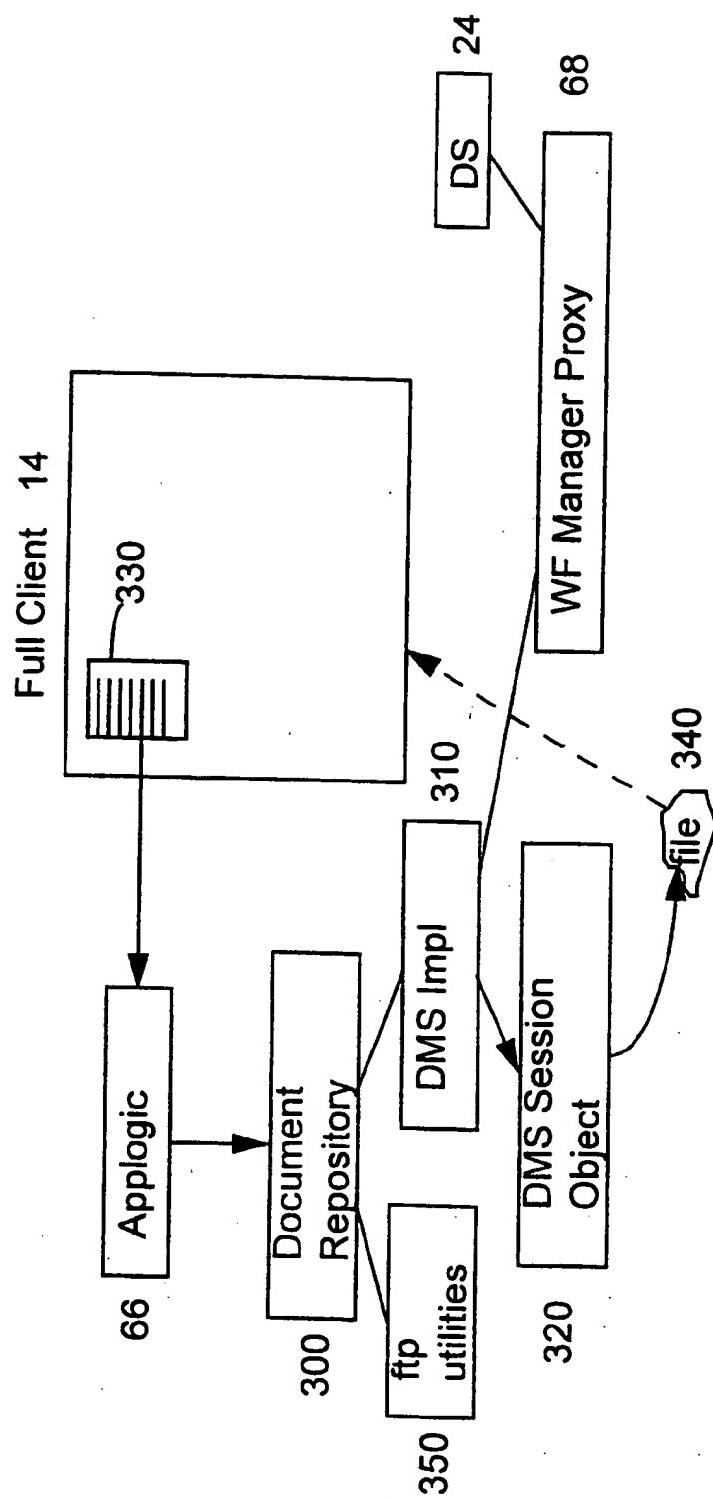


FIG. 4

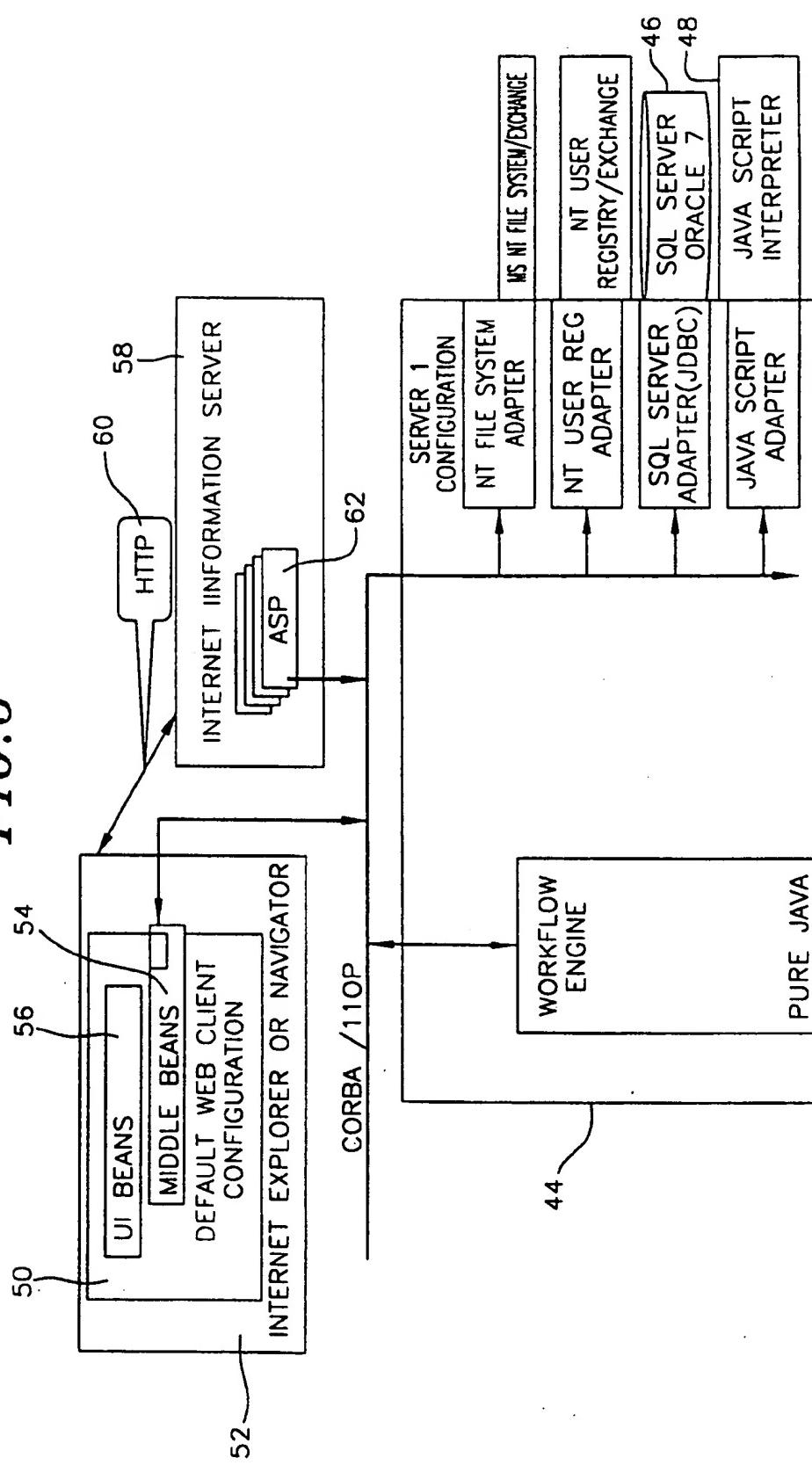
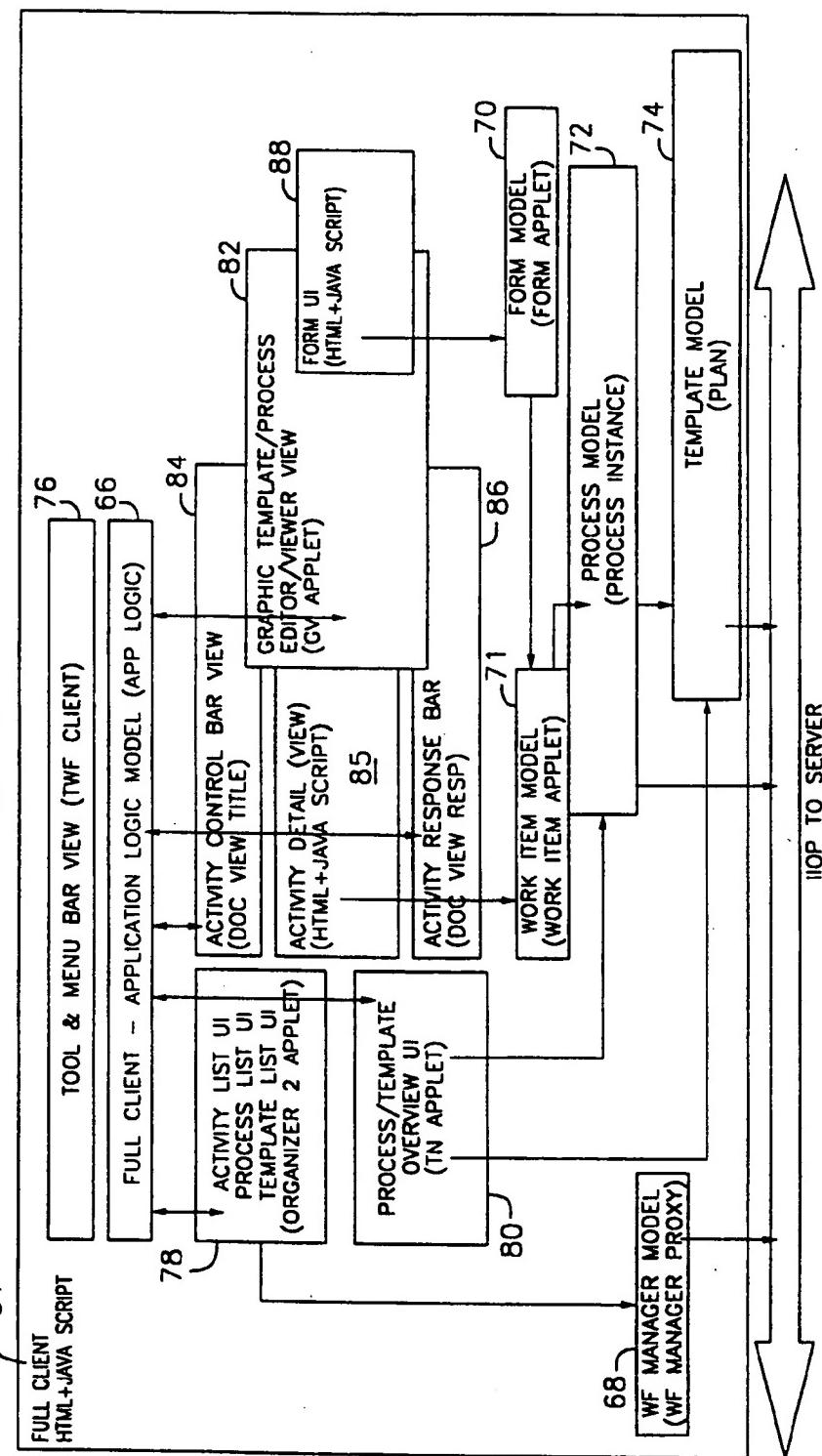
*FIG. 5*

FIG. 6



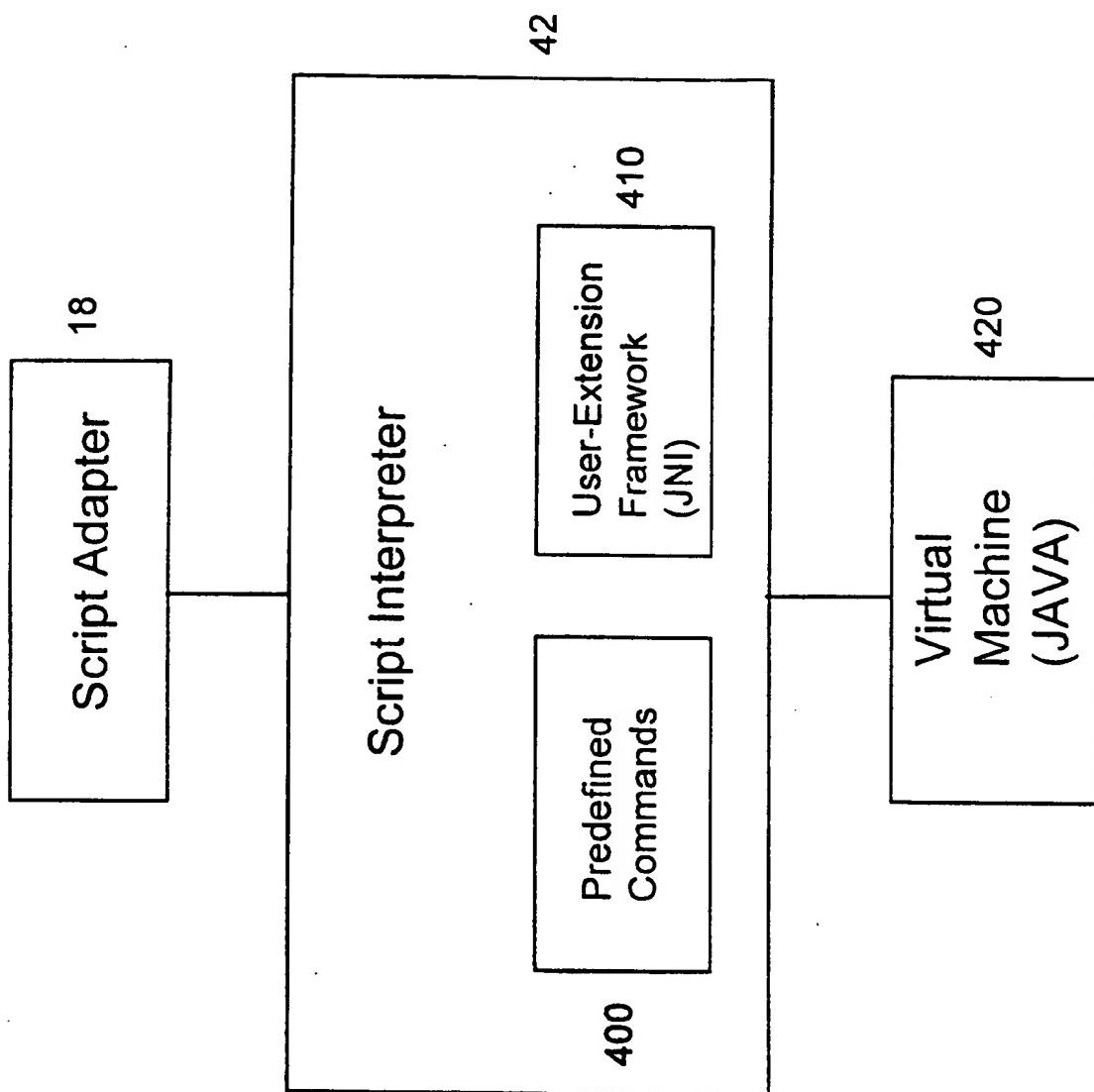


FIG. 7

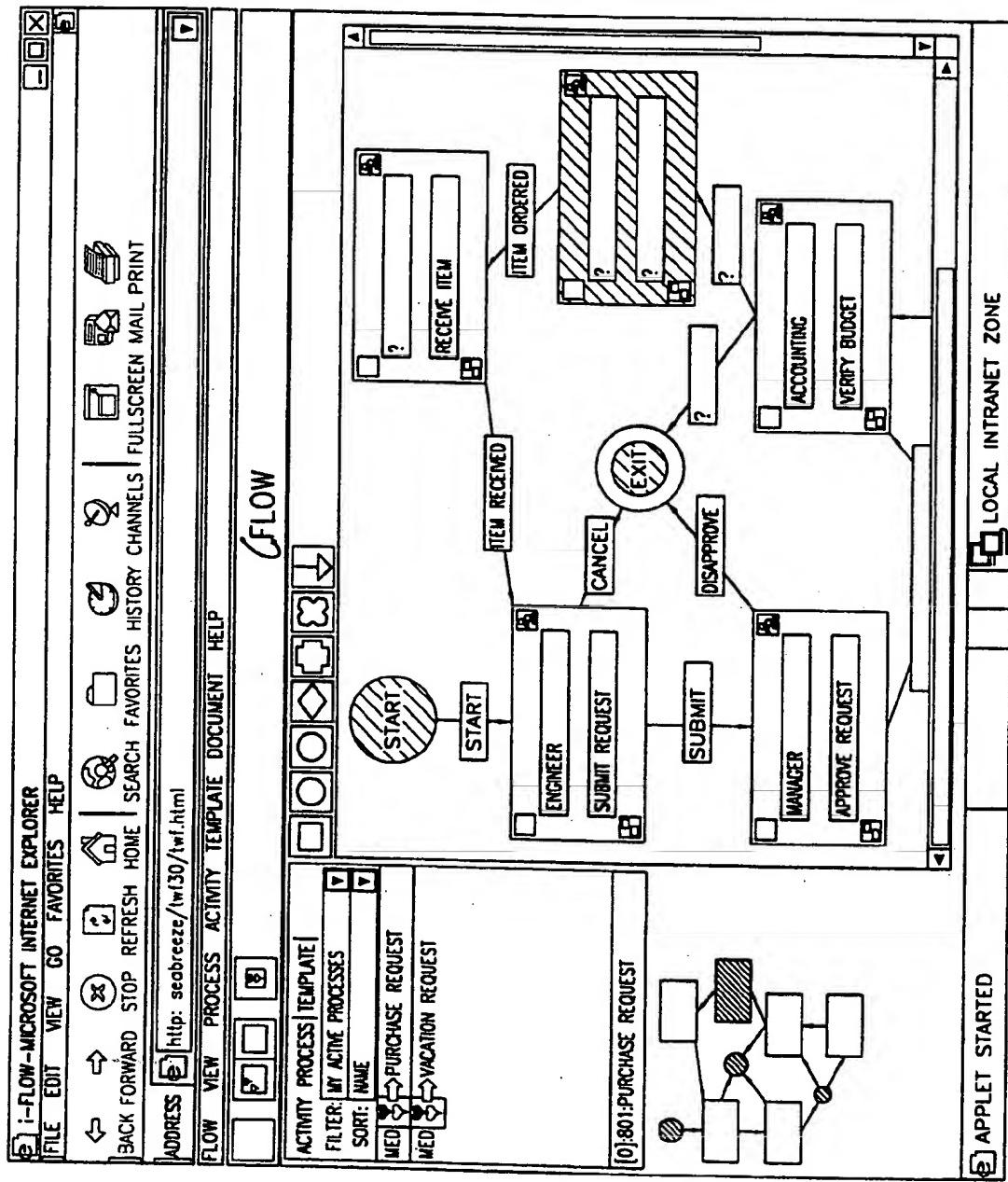


FIG. 8

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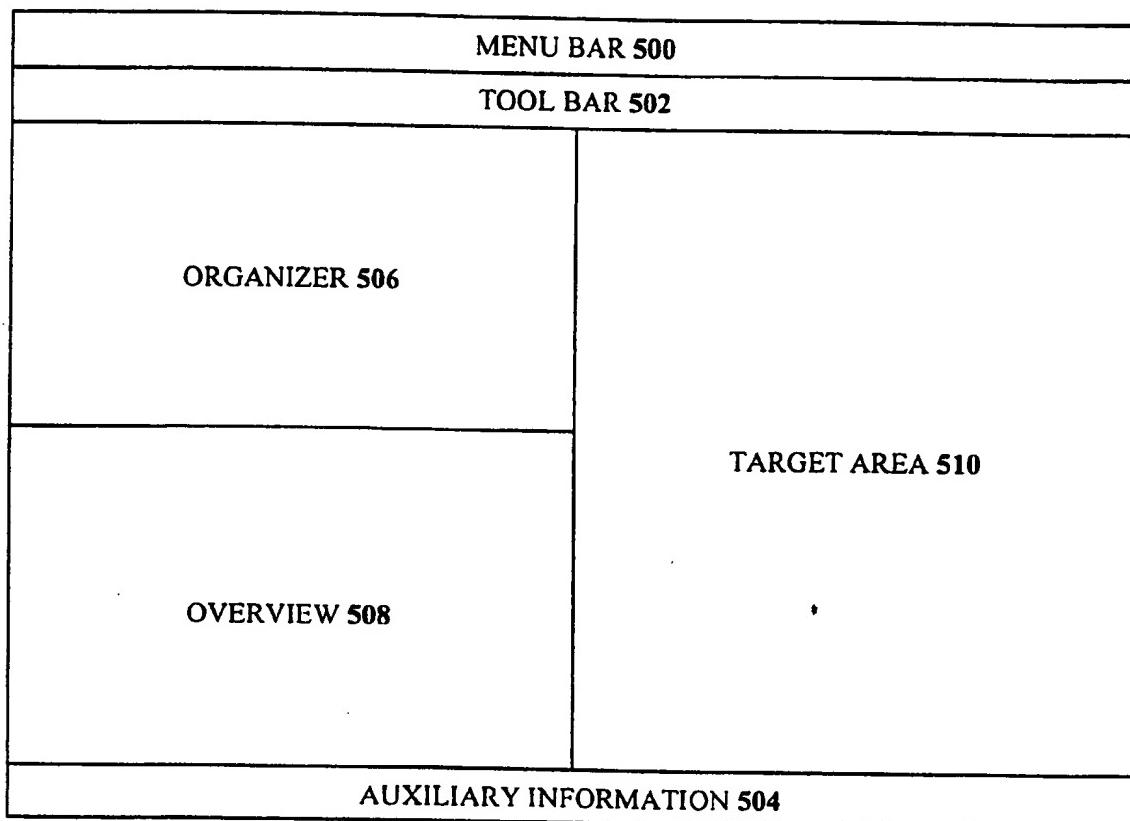


Fig. 9

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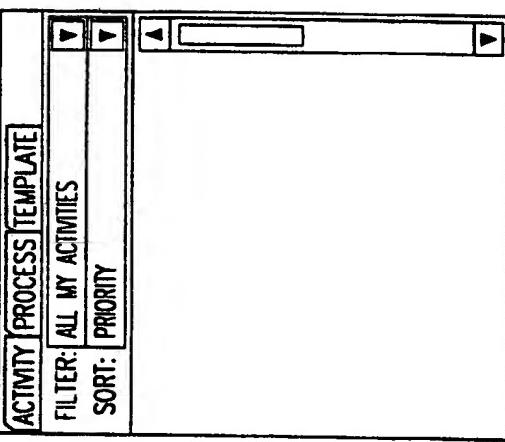


FIG. 10

FIG. 12

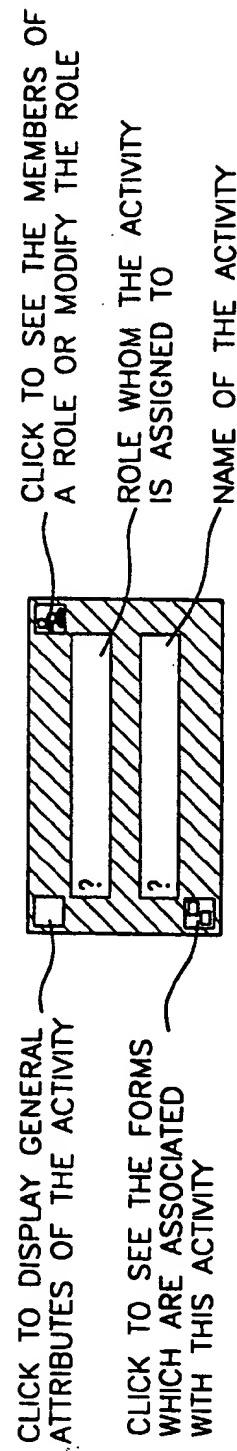


FIG. 13

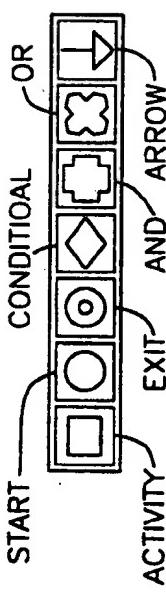
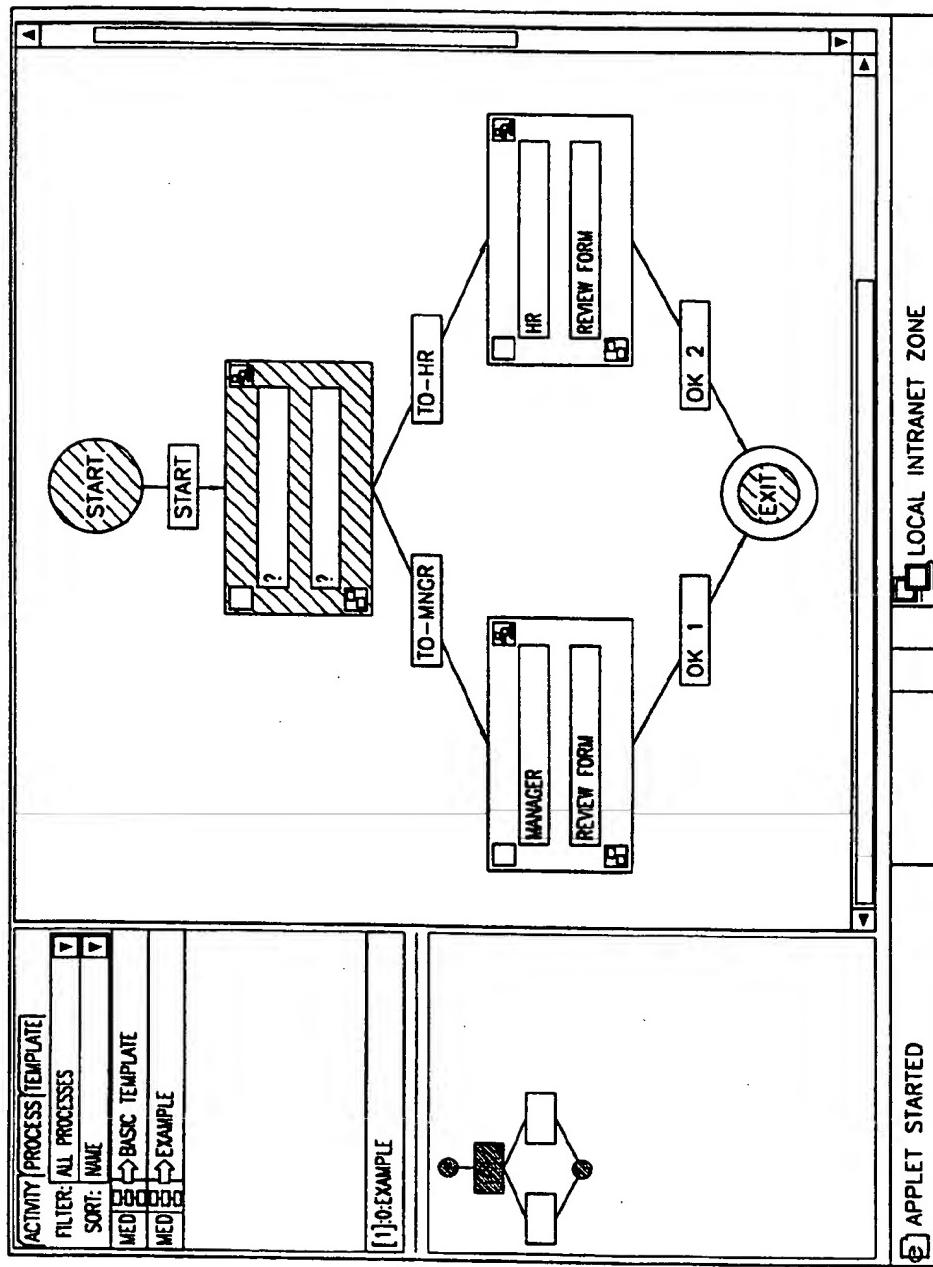


FIG. 11



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**FIG. 14**

<b>i-FLOW-MICROSOFT INTERNET EXPLORER</b> FILE EDIT VIEW GO FAVORITES HELP BACK FORWARD STOP REFRESH HOME SEARCH FAVORITES HISTORY CHANNELS FULLSCREEN MAIL PRINT ADDRESS <input type="text" value="http://mars/iwl30/iw/simple_en.html"/>											
<b>FLOW SIMPLE CLIENT</b> <a href="#">ACTIVITY DESKTOP</a>											
<a href="#">NEW PROCESS</a>	<a href="#">ADD ATTACHMENT</a>										
<b>WORK ITEMS</b> <table border="1"> <thead> <tr> <th>WORK NAME</th> <th>ATTACHMENT NAME</th> </tr> </thead> <tbody> <tr> <td>ONE ACTIVITY NAME</td> <td>COMPANY POLICY.DOC PRICE BOOK.PDF CUSTOMER REQUIREMENT.DOC BUDGET.XLS</td> </tr> <tr> <td></td> <td>FORMS</td> </tr> <tr> <td></td> <td>FORM NAME</td> </tr> <tr> <td></td> <td>PROJECT BUDGET PERSONNEL FORECAST RESOURCE FORECAST</td> </tr> </tbody> </table>		WORK NAME	ATTACHMENT NAME	ONE ACTIVITY NAME	COMPANY POLICY.DOC PRICE BOOK.PDF CUSTOMER REQUIREMENT.DOC BUDGET.XLS		FORMS		FORM NAME		PROJECT BUDGET PERSONNEL FORECAST RESOURCE FORECAST
WORK NAME	ATTACHMENT NAME										
ONE ACTIVITY NAME	COMPANY POLICY.DOC PRICE BOOK.PDF CUSTOMER REQUIREMENT.DOC BUDGET.XLS										
	FORMS										
	FORM NAME										
	PROJECT BUDGET PERSONNEL FORECAST RESOURCE FORECAST										
<b>PROCESS: BUDGET SUBMITAL PROCESS</b> ACTIVITY: ACTIVITY NAME DATE: 31-DEC-69 4:00:00 PM TO: WEIN FROM: MIKE DESCRIPTION: SUBMIT YOUR BUDGET REQUIREMENTS. <input type="button" value="ACTION 2"/>											
<input type="checkbox"/> LOCAL INTRANET ZONE											

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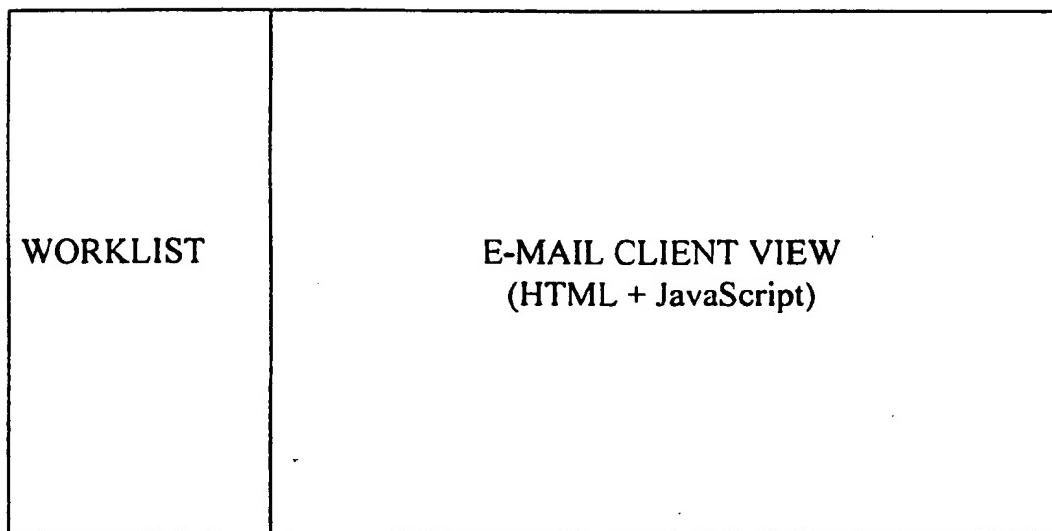


Fig. 15

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i-FLOW-MICROSOFT INTERNET EXPLORER			
FILE	EDIT	VIEW	GO
Favorites	Help		
<input type="button"/> BACK FORWARD	<input type="button"/> STOP REFRESH	<input type="button"/> HOME	<input type="button"/> SEARCH
FAVORITES	HISTORY CHANNELS	SEARCH	FULLSCREEN MAIL PRINT
ADDRESS: <input type="text"/> http://mars/iwf/html_en.html?user=wein&aid=2&server=MARSflow_30			
<input type="button"/> iFLOW EMAIL CLIENT		<input type="button"/> EMAIL DESKTOP	<input type="button"/> ASSOCIATIONS
<input type="button"/> ADD ATTACHMENT		<p>PROCESS: BUDGET SUBMITAL PROCESS</p> <p>ACTIVITY: ACTIVITY NAME</p> <p>DATE: 31-DEC-69 4:00:00 PM</p> <p>TO: WEIN</p> <p>FROM: MIKE</p>	
<input type="button"/> ATTACHMENTS		<p>ATTACHMENT NAME</p> <p>COMPANY POLICY.DOC PRICE BOOK.PDF CUSTOMER REQUIREMENT.DOC BUDGET.XLS</p>	
<input type="button"/> FORMS		<p>FORM NAME</p> <p>PROJECT BUDGET PERSONNEL FORECAST RESOURCE FORECAST</p>	
<p>DESCRIPTION: SUBMIT YOUR BUDGET REQUIREMENTS.</p> <p><input type="button"/> ACTION 2</p>			
<input type="button"/> DONE		<input type="button"/> LOCAL INTRANET ZONE	

FIG. 16

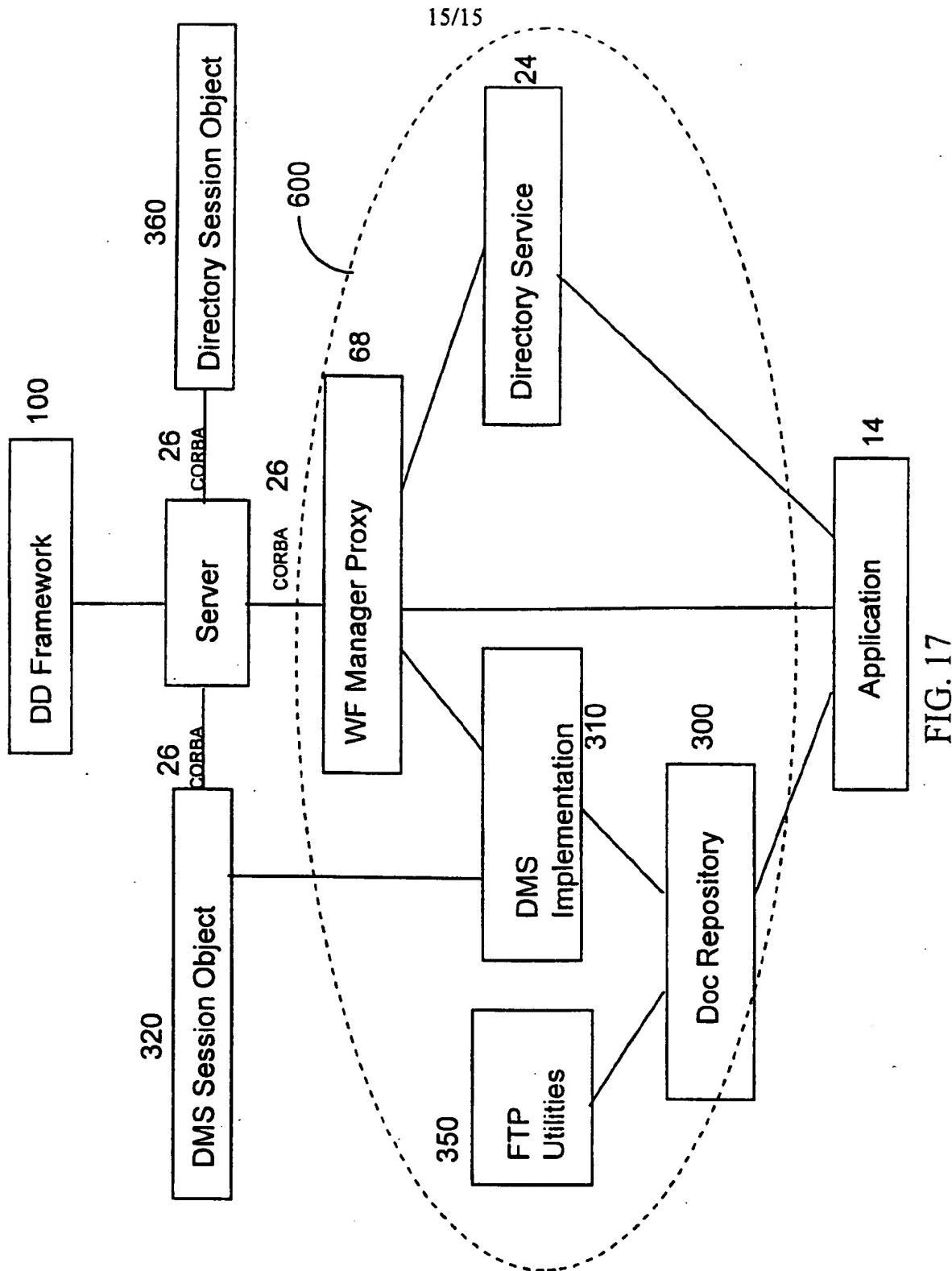


FIG. 17

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